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ABSTRACT

Included in these Proceedings are papers and discussion transcriptions of the 1975 Personnel Evaluation Institute. The collected papers deal with the theme of personnel performance evaluation in public, academic, and special libraries. Topics include management fundamentals, developing and using personnel evaluation systems, the library director and staff evaluation, the human element in organization, and employee evaluation in general. A bibliography, the conference program, participant list, and performance appraisal forms are appended. (KP)

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PROCEEDINGS
of the
PERSONNEL EVALUATION INSTITUTE

Held at Eastern Illinois University, Charleston, Illinois
October 24-26, 1975

An LSCA Title I Project, Sponsored by the Illinois State Library
&
Eastern Illinois University

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Charleston, Illinois
1976

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ACKNOWLEDGMENTS

I welcome this opportunity to express gratitude for the contributions that came from others to the Personnel Evaluation Institute. The program plans, as they were presented at Eastern Illinois University, were developed and executed during a period of six months. Cooperation from many persons enabled us to do this task within the time that was available.

Appreciation is expressed first to all persons listed on the Institute Staff Roster, and to which we here add the name of Mr. Barry Simon, Personnel Specialist, Office of Library Personnel Resources, American Library Association, for their prompt acceptance of the tasks that were requested of them.

Several persons worked continuously as the plans developed, providing willing technical assistance and support. Foremost among these was Miss Mary D. Quint, the Illinois State Library Manpower Consultant. From the time of her first inquiry about the possibility of holding the Institute at Eastern until the end, Miss Quint was an invaluable co-planner and general consultant. She made many trips to Charleston, offering encouraging ideas and supportive activities.

Mr. Thomas Brown, member of the Planning Committee and one of the originators of the idea of the Institute, was also very helpful.

The support received from the associated Eastern Illinois University staff members was indicative of their appreciation of the fact that we were able to serve as host for the Institute. Noteworthy cooperation was received from the Office of Continuing Education and Community Services and its Director, Mr. George Hackler; from the Director of Information and Publications, Mr. Harry Read; Mr. Phillip Lindberg, Director of Arrangements; the Director of Food Service, for the Martin Luther King, Jr. University Union, Mr. Edwin T. McCawley; Mr. John E. Price, Assistant Professor of Music; Dr. Roland Spaniol, Director of Computer Services; and Dr. Peter R. Moody, Provost and Vice President for Academic Affairs.

A special word of thanks goes to Dean Jesse H. Shera for his contribution to the final organization of the printed program.

The students who worked for the Institute were real troopers. Thanks to Ralene Petrie, William Kreuger, Don Donley, Judy Riordan, and Joyce Bonwell.

A special thanks to Professor Rose Vainstein, Margaret Mann Professor of Library Science, University of Michigan, for her contribution of bibliographies on "Performance Evaluation" and "Employee Motivation and Staff Development."

Most importantly, thanks to those who attended the Institute. Your patience in waiting for the Proceedings was appreciated. To do a careful job of editing required much time, and the job had to be accomplished within those elusive moments commonly referred to as "spare" time.

Finally, sincere appreciation is expressed to two very important persons: (1) Suzanne Lathrop, the young 1975 graduate of Charleston High School who transcribed the tapes faithfully; and (2) Mrs. Joanne Chacón who worked diligently with the typing and final preparation of this document. FMP

25 September 1976

INTRODUCTION

The Personnel Evaluation Institute was a relatively small meeting of participants who came together because of their serious interest in the evaluation of the performance of library personnel. Those attending were from public, academic, and special libraries of varying sizes. This diversity was according to plan. The Institute was designed to serve representatives of libraries of all sizes and types. A comment in a letter sent by one who attended the Institute referred to the diversity as an element that he appreciated especially, and he added, "The mix was fortuitous."

Their common interest in problems related to performance evaluation brought the participants together. All had responded to the announcement of the Personnel Evaluation Institute as an opportunity to focus on the process of evaluation, on procedures, and related problems. The announcement described the Institute as a working conference for those persons who had worked with goal setting and plans of service, those who had improved, or wished to improve, their personnel administration and performance appraisal, and those who would initiate programs as an outgrowth of the Institute. Moreover, the participants would be encouraged to return to their libraries with tentative plans to be carried out. A conference for review and assessment of programs was projected for 1976.

Why was this Institute planned? In her remarks at the beginning of the first session, Miss Mary D. Quint, the Illinois State Library Manpower Consultant, identified two sources of background for the Personnel Evaluation Institute:

(1) In 1969, the Illinois State Library, in cooperation with the Illinois Library Association and the American Library Association, began

work on the Illinois Library Task Analysis Project (ILTAP).[1] This three-phase endeavor extended over a period of six years, and culminated with the publication, in 1974, of Manpower Utilization in Libraries: A Systems Approach, by Myrl Ricking and Robert E. Booth. The Personnel Evaluation Institute was described by Miss Quint as a partial result of the writing of that book and the continuing interest of the Illinois State Library in the improvement of manpower in Illinois libraries.

(2) Another source from which the Institute developed was a conference at Allerton in 1974, sponsored by the Illinois State Library and the University of Illinois. The 1974 Allerton Conference was concerned with Collective Bargaining. After that meeting, many of the Allerton Conference participants expressed a desire for another conference planned to give attention to personnel procedures, policies, and other special problems relating to performance evaluation.

Thus, the Personnel Evaluation Institute was planned in direct response to expressed interests in performance evaluation, which had been generated by a study of the utilization of library manpower and a conference dealing with Collective Bargaining in Libraries.

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[1] The ILTAP Advisory Committee consisted of Lester Asheim, Julius R. Chitwood, Ruth Frame, Mary Quint, Agnes Reagan, Barry Simon, Barbara Slanker, Delores Vaughan, and Thomas M. Brown, Chairman. Three persons, Myrl Ricking, Mary Quint, and Thomas Brown, were members of the Planning Committee for the Personnel Evaluation Institute.

Objectives.

The objectives of the Personnel Evaluation Institute were participant-oriented.

Developing Plans

(1) The first objective was to have participants begin to develop plans to be carried out in their own organizations. This was the only objective that was to be accomplished during the Institute.

Implementing Plans

(2) The second objective was that participants would implement their plans in their individual work situations.

Evaluating and Reviewing Plans and Activities

(3) The third objective was that participants would evaluate and review the plans that had been implemented. A conference for review and assessment was projected.

Design of the Institute.

Information received from prospective participants influenced the design of the Institute. There were strong recommendations for a program that would provide opportunity and time for individuals to work on specific problems relating to their own experiences. Small group discussions and individual conferences were indicated as needs. The time allotted for speeches should be limited, so that the participants could talk freely with each other about specific problems and seek special consultative assistance from members of the Institute Staff. A flexible, purposeful design was required. Much of the work of the Planning Committee was directed toward interpreting and meeting the recommendations from the prospective participants. Several practical considerations were evident:

(1) With prospective participants of highly diverse backgrounds, a reasonably common frame of reference would have to be established as early in the program as possible. This would be important in the process of communicating. To this end, speakers were invited to prepare papers that would present the basic flow of ideas. The decision was made to begin with a paper, basic in its approach, and dealing with the fundamentals of management. A second paper would focus on the actual operation of the evaluation process in a library setting. The next presentation would consider the human element in organization, followed by a discussion of problems and techniques related to performance evaluation. The last of these initial presentations would be concerned with developing and using a personnel evaluation system. In addition to helping to develop a useful frame of reference, these presentations would provide information about the special competencies of the leaders of the Institute Staff.

(2) It would be very helpful for the Institute Staff to know as much as possible in advance about the special concerns of those who were planning to attend the Institute. The registration blank carried a request that the registrants list on the form their special problems and concerns, and these were compiled for use in planning. Approximately one-third of the participants sent lists in advance.

(3) Considerable variety in experience and academic preparation of the Institute Staff members was essential. Consequently, speakers and discussion leaders were selected from a variety of academic disciplines and organizational settings:

Miss Myrl Ricking, co-author of Personnel Utilization in Libraries: A Systems Approach, brought the experience of a personnel supervisor and a

concern for the human element in organization.

Dr. Harold Coe contributed the approach of an industrial psychologist. He had worked in the personnel field and as a department head in industry, in addition to his later experience as an academic department head and teacher of Industrial Psychology.

Dr. William E. Green, currently the Chairman, Department of Management, Eastern Illinois University, had useful experience to offer from the fields of Industrial Management and Business Administration.

Dr. Paul Mali, a professional management consultant, author, and professor of Management, had a wealth of experience in the development of personnel evaluation systems for industrial and business organizations in this country and other parts of the world.

Mr. Walter Curley brought unique experience in management, providing the viewpoint of a professional librarian and that of a businessman. He had served as Director of Cleveland Public Library before moving to his present position as President of Gaylord Bros., Inc.

Dr. Richard I. Miller, Associate Director for Academic Affairs, Illinois Board of Education, is the author of many books and articles in education and related fields, including personnel evaluation.

Similarly, the members of the Planning Committee and the Discussion Leaders represented libraries of various types and sizes and included library educators.

(4) Planning how to provide the type of flexibility that the participants desired was another practical consideration. The fact that they wanted a program that was not too highly structured could not be interpreted to mean that they would not expect an appropriate amount of organization.

The need was for an Institute staff member to perform a dual role, making a substantial contribution to the content of the program, and serving also as a special consultant to coordinate the activities of the Institute while it was in progress. A professional Management Consultant, Dr. Paul Mali, author of How to Manage by Objectives, was engaged for this purpose. There was frequent communication with Dr. Mali as the plans for the Institute were developing. Problems and concerns received in advance from the participants were forwarded to Dr. Mali, and he was able to use these as he prepared materials to bring with him. Dr. Mali's experience in working with many organizations and groups was a great asset to the Institute. Approximately one hour before the Institute's first assembly, the Opening Luncheon, Dr. Mali was introduced to a cluster of participants in the Alumni Lounge. Between sessions thereafter, when he was not conferring with Staff members, he could be located somewhere in the center of an interested group of participants. Repeatedly they asked one question: "Where did you find him?" Dr. Mali performed his dual role admirably.

One example of an appraisal system that Dr. Mali brought was a booklet that had been developed for Aetna Life and Casualty Company entitled, A Managers Guide to Performance Planning, Appraisal and Development. It was requested that this booklet be included in the Proceedings of the Institute. Permission to reproduce was granted graciously by Aetna, and the Company supplied also their 1975 revision, which has a new title: Personnel Policies and Programs. This booklet is included here as Appendix III.

(5) Finally, the Planning Committee itself contributed another practical consideration that became a criterion for the Institute. This was that in addition to providing information, the meeting should be an enjoyable experience. The pace and format should be changed appropriately

for relaxation. So it was that following a busy afternoon of work in Session I, the day's program ended with a restful musical interlude by Mr. John E. Price, an accomplished pianist from the Eastern Illinois University faculty. The second day, filled with individual conferences, group discussions, and general sessions, ended with an informative and inspiring address by Dr. Richard I. Miller, Associate Director for Academic Affairs, Illinois Board of Higher Education. (A copy of Dr. Miller's speech is not included in the Proceedings, because it was not possible to arrange for taping facilities at that time.)

With the recommendations from prospective participants and the practical considerations reviewed above, the Planning Committee developed a program that was designed to meet the objectives of the Institute. (For a copy of the official Program, please refer to Appendix I.)

Supported by LSCA Title I funds from the Illinois State Library, the Personnel Evaluation Institute was held in Charleston, Illinois, October 24-26, 1975, with Eastern Illinois University as co-sponsor. Frances M. Pollard, Chairman of the Department of Library Science, served as Chairman of the Planning Committee and Director of the Institute. A roster of the Personnel Evaluation Institute Staff follows.

Department of Library Science
Eastern Illinois University
Charleston, Illinois
September 25, 1976

Frances M. Pollard, Director
Personnel Evaluation Institute

PERSONNEL EVALUATION INSTITUTE STAFF

PLANNING COMMITTEE

Miss Mary D. Quint, Senior Consultant, Library Manpower Utilization, Illinois State Library, Springfield
Miss Myrl Ricking, Employment Supervisor, The Urban Institute, Washington, D.C.
Mr. Thomas Brown, Librarian, New Trier High School, West, Northfield, Illinois
Dr. Frances M. Pollard, Chairman, Department of Library Science, Eastern Illinois University, Charleston, Illinois

INSTITUTE LEADERS & SPEAKERS

Dr. Harold Coe, Professor of Psychology, Eastern Illinois University, Charleston, Illinois
Mr. Walter Curley, President, Gaylord Bros., Inc., Syracuse, New York
Dr. William E. Green, Chairman, Department of Management and Marketing, Eastern Illinois University, Charleston, Illinois
Dr. Paul Mali, Associate Professor of Management, Austin Dunham Barney School of Business and Public Administration, University of Hartford, West Hartford, Connecticut
Dr. Richard I. Miller, Associate Director for Academic Affairs, Illinois Board of Higher Education
Miss Myrl Ricking, Employment Supervisor, The Urban Institute, Washington, D.C.

CONSULTANTS AND DISCUSSION LEADERS

Dr. Jesse H. Shera, Dean Emeritus, School of Library Science, Case Western Reserve University, Cleveland, Ohio
Dr. Peggy Sullivan, Dean of Students, University of Chicago, Graduate Library School
Miss Alice E. McKinley, Director, DuPage Library System, Geneva, Ill.
Mrs. Ruth Frame, Deputy Executive Director, American Library Association, Chicago, Illinois
Miss Ruth Gregory, Head Librarian, Waukegan Public Library, Waukegan, Illinois
Mr. Rick Haegele, Manager of Training, Department of Personnel, Office of the Secretary of State, Springfield, Illinois
Miss Geneva Finn, Doctoral Program, Indiana University, Bloomington, Indiana. (Miss Finn is the Evaluator of the Institute.)
Miss Cosette Kies, Assistant Professor, George Peabody College, School of Library Science, Nashville, Tennessee

ASSOCIATED STAFF FROM EASTERN ILLINOIS UNIVERSITY

Mr. George Hackler, Director, Continuing Education and Community Services
Mr. Edwin T. McCawley, University Union
Mr. Phillip Lindberg, Director of Arrangements
Mr. Harry Read, Director, Information and Publications

Students

Bill Kreuger Ralene Petrie Judy Riordan Joyce Bonwell

PART I

PAPERS PRESENTED AT THE PERSONNEL EVALUATION INSTITUTE
October 24, 1975

FUNDAMENTALS OF MANAGEMENT

By William E. Green

MANAGEMENT is the art and science of achieving objectives through the cooperative efforts of numbers of people. We are concerned here with the leadership function in a free society. The basic objective is to provide the leadership necessary to achieve economic goals with a minimum of expenditure of human effort and time, in order to provide a maximum of time and energy to be devoted to personal goals - cultural and recreational. The object is to free people from back-breaking, brain-numbing labor. This applies to the sound management of any organization. This objective for the organizations involved in this program is much broader than in many, because the purpose of these organizations is to assist in achieving this objective for, not only the personnel in the organization but to assist the general public in the same objective through dissemination of knowledge.

The basic functions with which we are concerned are to: PLAN, ORGANIZE and CONTROL, the forces, factors and effects necessary to achieve the primary service objective. These are broad classifications which are defined to cover all of the functions of management.

PLANNING - the mental function of visualizing an objective and creating a set of relationships which will achieve the objective.

ORGANIZING - the function of bringing together the necessary materials, tools, equipment and personnel, in the proper proportions - quality and quantity - to achieve the objective.

CONTROLLING - the continuing function of comparing the achievements of the operation against standards set in the planning function, taking

corrective action where achievements do not meet standards, and follow-up to assure continued performance according to standards. The comparison function of interest at the moment is that of comparing personnel against the standards set. Corrective action does not, in most cases, indicate punitive action, rather, it involves more communication and training. The function of comparison and corrective action with respect to personnel is the responsibility of both management and employee. It should be recognized that where performance does not meet standards, the error rests with both management and employee. Corrective action in this case should therefore be viewed as a joint effort between manager and employee.

The Planning function is divided into two major sub-headings; Creative Planning and Routine Planning. Creative Planning is the area to which I would like to direct attention first, but before that we need a definition of the objective. As indicated, above, the Primary Service Objective is of major concern. This is defined basically as the service which is desired, or for which we hope to create a desire on the part of the customer. At this point your attention is invited to some very basic thinking about the desires of customers with respect to knowledge and the alternative means by which this knowledge may be made available to the customer. In order to avoid the limitations of tradition, it is suggested that your thought be directed to knowledge without regard to the form in which it may be recorded or presented. This is the function of Creative Planning.

From this vantage point let us proceed to examine briefly the subject with which we are dealing and its importance. First, a brief examination of the commodity is Knowledge, no matter how it is dispensed. The

importance of knowledge is impossible to overestimate, because knowledge is power. In general, we have come to think of power as the mechanical power created by chemical or nuclear reactions but it is appropriate here to consider a more basic approach. The value of all of these resources is based in knowledge. If fact, the resources which are so highly prized today would be totally worthless without knowledge, the one factor which sets mankind apart from other animals. Without knowledge man would be condemned to constant drudgery in order to meet physical needs. Such drudgery would leave him without the ability to appreciate cultural values and to a large extent incapable of utilizing the mental capabilities with which he has been endowed. From this it might be concluded that the Primary Service Objective is to relieve man of his bondage due to the lack of knowledge.

Accepting the Primary Service Objective indicated above, let us turn our attention to some of the means of achieving the objective. Without doing undue violence to the existing organizational structures, it is suggested that some of the functions be re-examined. For example, let us examine the functions of acquiring the necessary materials for assisting the customer in acquiring knowledge. This might be called the acquisition and distribution of knowledge through use of all available media. The function might be likened to that of Materials Management in industry. This set of functions involves not only the efficient management of the materials through the processes of storage, processing and delivery to the customer. The functions performed by those who dispense materials to the customer might be likened to that of sales. This is literally the selling of a service, one of the most difficult of sales tasks. There are several reasons for

the difficulty of such sales. One of the most obvious is the time lag between the acquisition of the service by the customer and the realization of the benefits to be derived from the service. The function of sales and public relations should therefore receive prime consideration in planning. The opportunities for the type of enterprise described above are almost limitless. Exploiting these opportunities will require imaginative planning and full cooperation of the total organization. With this type of effort, the organization which assists people in achieving knowledge is the leader in solving the problems of the world whether those problems are economic, social, or cultural.

In examining history we find that the only populations which have lifted themselves above serfdom or slavery are those which have acquired and utilized knowledge. We find further that the vast majority of knowledge now available has been formulated within the lifetime of persons now living. Also, the greater portion of basic knowledge has been put to very little practical use for the benefit of mankind.

At this point it appears appropriate to note the completion of a two-hundred year experiment with a new political economic system based upon the concept that "Man is created with certain inalienable rights." This principle was supported from the beginning by the concept that Knowledge on the part of the General Public is essential to the success of such a system. It appears from the past two hundred years that the system is far superior to all others, especially where the populace has access to knowledge. The matters with which we are here dealing have to do with the future rather than the past. A society is a living organization and as with any other living thing there are only two states of existence: 1) progress, 2) stagnation. Therefore, if we are to succeed, we must PROACT to problems rather than

reacting. We must plan and look to the future to prepare for future conditions before they arise.

We may conclude from the foregoing that proper application of available knowledge could solve most of the ills now confronting the world. Those of you in the business of assisting the population in acquiring knowledge are therefore in the forefront of the battle against all of the ills that beset mankind. With your diligent efforts we will achieve a state of economic and cultural development which would appear to the more pedestrian thinkers as a complete Utopia. You, working in concert, can achieve these objectives.

THE LIBRARY DIRECTOR EVALUATES THE STAFF

By Walter W. Curley

Today we take a look at "the big picture" in our pursuit of "Professional Growth Thru Evaluation". My job is to relate the subject to libraries. Before I begin, let me suggest the probability that points made in this paper will not dove-tail with concepts presented by other speakers, as each of us speaks from his own point of view. I also believe that an understanding of library management's role in evaluation of personnel will necessitate a fairly detailed look at the total situation for which the library director is responsible.

The first priority in a library manager's spectrum of duties is (1) to insure service to the community. The next priority is to (2) work effectively with his Board of Trustees. In the university library this governing, policy-making body will vary from the President's office to a faculty committee. In the school or special library, it will be a far simpler relationship with the next up in the chain of command. In all cases, working with his boss is a must for any library administrator. (3) Only here in his priority list does the library manager place his relationship with staff. Thus there is frequently a wide gap between the ideal and the real insofar as the library director's capacity to develop forward looking and totally effective evaluative procedures is concerned.

Of the past 25 years I have spent 18 in public library service, and six in the business world. Some of the personnel situations encountered in each environment were peculiar to that environment. Many, however, were common to any administrative situation in which one is responsible for the productivity of large numbers of people.

THE LIBRARY DIRECTOR EVALUATES THE STAFF

I know I am expected today to point out differences in the evaluative process as it relates to different types of libraries. This, however, will not be a major thrust of this paper for the simple reason that I prefer to say only what I know to be true from personal experience and observation - and my experience has been derived in the public library arena (I use the word "arena" advisedly!). But whether Institute participants come from large or small public libraries or from college or school or special library, the points which I make should have some practical application to the situation with which you each are dealing.

So let me throw out my textbook and try to describe what it is like to administer a large library - and how that responsibility has both positive and negative effects on managerial capacity to "do right" by the staff!

Developing the technical expertise to handle the challenges of each type of library administrative situation is seldom a problem for anyone of moderate intelligence. But developing the objectivity and the sensitivity and the strength to deal with large groups of people and with individuals at various levels of power and responsibility - there is the cruncher! And it is there that we separate the men from the boys! (Or in this day of 'woman's lib' --just to mention one more problem--should I rephrase that observation and say "There is where we separate success from failure!").

As I review in a kind of stream-of-consciousness style, the questions which have plagued me for the past quarter of a century in my relationship with staff, they flash on the call-board of my consciousness something like this:

1. In my obligation to get the job done, how firm can I be without seeming ruthless?
2. Where does my responsibility to the library end, and my responsiblity to

the person who works for it begin?

3. When does leadership require me to merely suggest, or to push and shove, to do nothing, to retreat?
4. Is communication all that important? Can't there be too much of it, as well as not enough? Is not there something to be said for administrative strategy which keeps 'em guessing?
5. Is there any problem which brings out the worst in people faster and creates personnel problems with greater speed than a shortage of funds?
6. As an administrator, am I able to take criticism, some of it deserved? Can I handle deliberate or accidental misconstruction of my motives and my actions?
7. How good am I at taking the blame for boo-boos pulled by my staff?
8. As a good administrator, can I, in conscience, pursue policies and implement decisions of my Board, to which I am diametrically opposed and which I am convinced are bad for the library which I serve, or for the staff who work for us?

These are questions which beset an conscientious administrator as they have beset many or you. The library director's dilemma is that he serves three masters--

(1) the community (whether it be a city, a town, a campus, an industrial concern, a hospital - you name it.)

(2) the people who are his bosses.

(3) the people who work for him.

While our concern here is to develop ways by which the three groups are given correct and constructive evaluative treatment, the library director can insure it only to the extent that the first two groups will let him!

THE LIBRARY DIRECTOR EVALUATES THE STAFF

Let's briefly consider some of the forces which are at work today to affect the director's interest in, influence upon and treatment of staff.

When I arrived at my last library assignment, fresh from a stint in the business world, I recalled Wheeler & Goldhor's basic principle that a good library administrator "does whatever directing is required to get his job done!"

I knew that an administrator along with his Board and his staff has to (1) make plans, (2) define the problems, (3) make decisions, (4) find ways and means to implement those decisions and (5) insure proper follow-through on action which had been implemented. I also wasn't overwhelmed to discover that this would involve organizing an action program, selecting and carefully instructing personnel, establishing and maintaining sound relations and communication with my governing Board, with staff and with the affected community as well! I soon discovered all over again that, unlike the business world, great emphasis in the library world is placed on preliminary study, selling of a program or course of action to the Board, to the staff, to the community, justifying it every step of the way, defending it long before results would reasonably be expected, living with board and staff insecurity while the program or course of action is in its preliminary as well as productive and final stages. In the large public library arena, it soon becomes apparent that if one moves off dead center, one is suspect until the success of the venture finally proves inevitable. So - my definition of a good library administrator, now that I have lived in both the business and public world goes something like this:

He is the guy who sees what needs to be done and who can persuade others that it needs to be done, and can inspire all of those involved to

get it done. Who are the experts whose advice I have had cause to remember? Well, being librarians, let us go back, way back to Nicolo Machiavelli, who in the middle ages became the progenitor of ideas which still make a lot of sense. Lord Macaulay believes that we moderns have done Machiavelli a great injustice when we think of him as sly or crafty. Actually he was a sweet guy who wrote a couple of books in which he said better than anybody else of his time, what most of the power--structure of the day was doing anyway. His real fame came from his "Discourses on the First Decade of Livy" in which he presented the theory that politics are above the moral law! I ask you--can you think of a quotation which is more modern, more immediate than that one? But to get back to his masterpiece, "The Prince", he said a couple of things in that which still seem to be true: For example: - "Divide and rule". Everybody quotes that these days as "Divide and conquer" but that isn't really what Machiavelli said. What he said is true, however. I have seen it work dozens of times in my administrative life. The technique is to let factions have a go at one another and while they are fighting, walk away with the prize - whatever it may be. It usually means walk away with control of the situation.

Something else that Machiavelli said I have found to be very true: "There is nothing more difficult to conduct, or more uncertain of success, than to take the lead in the introduction of a new order of things." Amen!

On a more optimistic note, Machiavelli also said the following which is very true - "Where the willingness is great, the difficulties cannot be great". Those of you who are library administrators, I submit to you, have you ever been able to cope with passive resistance from the staff when it has been introduced to combat a new order of things? Have you ever ceased

to delight in the ease with which things have happened on those occasions when everybody involved wanted it to happen?

The last thing that Machiavelli said that I remember frequently is that "When neither their property nor their honor are involved, the majority of of men live content." This, I think is quite true. The problem is that most of the problems which crop up when dealing with large numbers of staff seem to involve either one or the other. One staff member does not get a raise he thinks he deserves. His property is involved. Another staff member does not get a promotion he wants. His honor is involved. I guess what I am saying is that as an adminstrator it is not easy to win.

Next to Machiavelli, I value the opinions of C. Northcote Parkinson. You are familiar with his works. In 1971 he wrote "The Law of Delay". Since it seemed to become my way of life during my days as a library administrator, I quote certain pertinent remarks from it: Where Machiavelli said "Divide and rule", our friend Parkinson points out that the modern way to do it is to "Delay and rule".

It works like this, rely on either a solid, dependable abominable NO-man, or, as a final resort, look to a Prohibitive Procrastinator who is the master-practitioner of the law of delay. Time was that every organization had a fairly high-up supervisor or co-ordinator or staff man whose primary responsibility was to say "NO" to any suggestion or request for action, regardless of its merits. Members of the staff would ordinarily receive all kinds of encouragement until they ran head-on (by design not accident) into the abominable NO-man. Only the most urgent and not always the most important matters would seep through this formidable barrier to top management. Today, there are new trends in administration which direct us toward a more subtle but equally effective way of preventing progress.

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Projects or ideas which seem destined for implementation on the basis of sheer value to the library or its staff can now be stopped in another way. This new task has become a favorite modus operandi of more library Boards of Trustees than I care to think about. It is practiced far less often and far less successfully by library directors when dealing with staff. This new device goes like this. One never says "NO". Instead, one says "your idea or plan has real merit. We will deal with it in due course". It achieves the same results as "NO" because it actually leads to negation by delay. The key is the amount of time involved. Parkinson illustrates his point by citing the example of a drowning man who yells for help. Instead of help he receives the encouraging word "You will receive help in due course". Then an estimate is made of how long it will take him to drown. And help will be sent along sometime after that. It's a marvelously subtle way to prevent action of any kind. "In due course" is a usual device to cool off an administrator's plea for what he considers necessary and urgent action. In due course is frequently accompanied by a request for further study - which not only prevents progress but mires the eager-beaver library director in such a complexity of inconsequential data-gathering that he soon, even willingly, takes his eye off the ball. Once he has done that - Voila! The law of negation of delay has worked again!

Enough cynicism from Parkinson, even though it does harbor a lot of truth. At a recent gathering of members of the American Academy of Political and Social Science it was pointed out that the modern public agency director now faces striking and rapid expansion of the number and variety of decisions which are required of him on a day-to-day basis. He must also recognize the fact that real power inside his organization is much more widely

dispersed than ever before. Also, there is more sharing of responsibility with outsiders. All of this adds up to "loose control, diffused power, plural centers of decisions". In fact, decisions are often a committee process.

Thus it becomes important for us here today to understand the limitations which are placed upon the library director's capacity to develop and implement evaluative criteria and practice.

A new director of a large public or univeristy library will often be stunned to discover just how narrow his sphere of influence is, and just how limited his options are in the decision-making process. The modern library administrator must learn quickly to operate in a fluid environment. (I wonder how many of them drown in that fluid environment while waiting for old "in-due-course" to send help!) A nice quote from the academy can be adapted to tell us that "the task of a public library administrator is as difficult as trying to nail Jello to the trunk of a tree".

The old dictum that an executive's prime task was to hire good men and delegate full responsibility is only partly true today. The chief responsibility of today's library administrator is to be able to meet a series of unforeseeable crises on the road to an undefinable objective. Planned-for contingencies never happen - something else happens instead. The planning process gives useful training to the staff, but the plans themselves are generally useless.

Modern style administrative leadership, library as well as other, is now softly couched in suggestion rather than orders even when dealing on a vertical plane. This is necessary as well as advisable because the amount of tension inherent in administration today makes the low-key style of

communication necessary to survival. Several shouting matches a day would quickly lead to the cardiac ward! The new state of affairs also imposes new ethical burdens upon the library administrator. It is now up to the director himself to define the purpose of his work. It has not been and will not be done for him by anyone else. From prehistoric times up until today - when all that sort of thing has stopped - policy change nearly always did come from the top! Not any more - even when one thinks it is still happening that way.

So - dream your dreams - devise your plans - make your recommendations for more effective evaluative procedures - and when you bring your constructive action program back to your respective libraries from this Institute, may your babies not be thrown out with the bath water!

Now that all the cynicism is behind me, let me run before you those evaluative dicta which I would emphasize if I were a library director trying to bring out the best in his staff.

In Japan, and in many other countries, it is interesting to note that any records of performance maintained for personnel emphasize only the strength of the employee and ignore the weaknesses which all too often receive undue attention in American personnel files. One practical reason for the Japanese system is the fact that firing of staff is virtually unheard of and, thus, any attention paid to weaknesses or deficiencies is so much wasted effort. Another more important reason is the fact that great attention and respect are paid to a man's good image and to his pride in himself. It makes for a much healthier, happier employer-employee relationship than our more thorough and cautious American procedures do!

In my own experience it has proven practical to maintain evaluative

criteria which clearly indicate the following data about an employee:

(1) His professionalism

(2) His ability to execute

(3) His capacity to communicate - to work well with people

(4) His imagination (within the bound of the job assignment)

(5) His efficacy as a self-starter

(6) His good personal habits

It is my firm conviction after a quarter of a century of working with people that to get strength in any critical and demanding position, one must put up with weaknesses. Failure to recognize this fact has led to too many bland appointments in our libraries - placing in potentially dynamic position people who get there by virtue of their lack of recognizable weaknesses which often accompanies little or no strength. How many library executives, for example, do you know who arrived where they are today not by achieving, but by not offending anyone!

In the final analysis, the library director must be certain that every aspect of the personnel policy insures the most careful regard to recruitment, hiring, promotion, transfer and eventual retirement of the people best qualified to serve the particular community which is the library's responsibility. As no one else can, he must scrutinize, with total objectivity, all of the personnel rules, procedures and practices which attract to his library and keep in its employ those best qualified and most willing to perform their duties well and happily.

Make no mistake about it, a library (public, university, school, special) has a life of its own! It is a living, breathing organism--because it is made up of people - very special people! Policies and practices which are

supposedly dictated from above for the good of the library or the community will not necessarily become realities. They may be accepted, rejected, or partly digested, or totally regurgitated. The head will not always be able to control the emotions of this organism - but the secret of sound administration is to know how to do just that. I now have a lot more concern for the importance of the emotional life of a library than I had as a neophyte. Writing memos, pressing buttons, talking to people does not necessarily make the giant stand up and walk!

Being popular with the staff is not nearly as important to me as it once was. In any large library, just by virtue of being the boss, one must accept the fact that this makes him "the enemy" to many. The trick is in trying not to live up to that reputation. The administrator who really doesn't give a hoot about the lives and problems of the staff should retire--quickly.

No matter what the size or type of library, it is important that a meaningful <u>personnel file</u> be maintained for each employee. It should contain:

(1) Evaluation reports

(2) Disciplinary reports, if any

(3) Evaluation of potential

(4) Records of accomplishments

(5) Other pertinent data which accentuates the positive - special training, education, talents, etc. in addition to usual information.

(1) The evaluation report is usually a must in state and municipal library agencies. It is most effective when it takes place at regular intervals via a talk between employee and immediate superior. In actual practice, it usually is not done well, or regularly, and is generally regarded as a

distasteful task, which usually accentuates the little shortcomings rather than the broader, more positive aspects of an employee's performance.

In Civil Service situations, for example, the evaluation report usually becomes a vehicle for reward for not failing rather than for succeeding.

(2) Disciplinary reports are essential if administration is to correctly evaluate whether an employee should stay or go! This is the area in which the evaluation report becomes a weapon which protects the library from the inadequate or marginal employee. In American libraries and other American agencies, for that matter, this negative purpose is the one primarily served by evaluation reports.

(3) Evaluation of potential. In addition to any official evaluation form which the library uses, I would recommend that the administrator maintain for each promotable employee an evaluation record which indicates the following:

(a) what has the employee done well?

(b) what else, therefore, might he or she do well?

(c) what training should the employee receive to develop or utilize existing strengths?

(d) would the administrator (or supervisor) like to work for that person?

In filling various library vacancies, these records of potential should be carefully studied - and the person with the greatest strength, as they relate to the job, should be given serious consideration! The job should never be tailored to the individual!

Obviously, a library of any size is going to find this policy hard to follow on occasion. After all, there are such things as seniority, union rules, and Civil Service requirements to be considered: This seems a logical place to comment on another consideration of fairly recent origin

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--EEO requirements.

It may well be that a particular library in filling a particular vacancy may not, because of an EEO regulation, be able to place in that position that person best qualified for it at this particular point in time. Here the short range library objective must give way to the long-range objective. In the final analysis it is hoped and intended that the library and society in general will benefit from the practice.

Job evaluation is every bit as important as personnel evaluation in all sizes and types of libraries. It should be an on-going and thorough process. It has been my observation that where this is not the practice, jobs change their character and emphasis over the years and in the end, often become not do-able! Any position in which there is frequent turn-over of high-caliber personnel should be studied carefully with this possibility in mind!

Job descriptions should be much more helpful than they usually are! An up-to-date and accurate job description should be available to every library employee. It should do more thar list the duties and limitations of the job. Each position description should contain careful coverage and the full range of demands it places upon the employee.

One problem in the library profession has been that it's library school graduates are offered positions so small and limiting in scope that abilities are not tested and challenged as they should be! The result! The employee leaves or worse - he stays and deteriorates into a burned-out and disgruntled staff member. In library school, all that can be shown is promise. The real test comes in actual job performance. The library profession regularly chews up dozens of promising librarians by its failure

to match the challenges of the position to the potential of the graduate. If neither stimulated or challenged, or allowed to be, the new librarian becomes totally disenchanted.

A special and constant evaluation of all supervisory personnel should also be standard operating procedure in all types of medium sized to large libraries. Their impact on other personnel and on the library's public effectiveness cannot be over-estimated. This practice is particularly important in departments where personnel turn-over seems unusually high.

The real goal of a well organized and successful program of evaluation insures effective utilization of the poeple you have. It takes skill, time and effort. To be truly effective, it should permeate line function. In a library this is not always easily accomplished. In the small public, college, school or special library, it should be done by the library director. In the medium sized library the director and the head of personnel should share the responsibility. In large libraries of all types, some evaluation should be performed by line managers. I would urge caution in mixing new management theories with old-line management. It can prove counter-productive.

Veteran supervisors in many libraries frequently resist any evaluative procedures other than a "seat-of-the-pants" approach. In such situations, careful explanation and gradual implementation of evaluative procedures is required.

So bearing in mind that the library manager must first concern himself with services, and must second obtain board support of his personnel policies and procedures, we must heartily endorse his third responsibility to his staff as a most difficult but rewarding one. The staff which enjoys the

benefits of proper and regular application of sound evaluative procedures is a happy and productive staff. What more could any library director ask?

THE HUMAN ELEMENT IN ORGANIZATION

By Myrl Ricking

In any approach to management, in any type of organization, it is always a matter of priorities, and I have never had any doubts about which element comes first.

It is the people element.

The human resource is obviously the sine qua non, the base on which all the others are built. It has also probably received the most lip service, consumed the largest amounts of time in the work situation (largely misspent) and, until the last few years been subject to the least analysis and real understanding. It is the element people most enjoy talking about and have the least success with.

One reason for this is that it is the most difficult to objectify. To twist Paul Goodman's title,[1] people are personnel, personnel are people, and this is what makes it so interesting and this is what makes it so difficult.

In his latest book, Peter Drucker indicates the five basic operations in the work of the manager.

> One, he sets objectives and "makes the objectives effective by communicating them to the people whose performance is needed to attain them.
>
> "Second, a manager organizes... He classifies the work. He divides it into manageable activities and further divides the activities into manageable jobs. He groups these units and jobs into an organization structure. He selects people for the management of these units and for the jobs to be done.

> "Next, a manager motivates and communicates. He makes a team out of the people that are responsible for various jobs. He does that through the practices with which he works. He does it in his own relations to the men with whom he works. He does it through his 'people decisions' on pay, placement, and promotion. And he does it through constant communication to and from his subordinates, and to and from his superior, and to and from his colleagues.
>
> "The fourth basic element in the work of the manager is measurement. The manager establishes yardsticks... He sees to it that each man has measurements available to him which are focused on the performance of the whole organization and which, at the same time, focus on the work of the individual and help him do it. He analyzes, appraises, and interprets performance. As in all other areas of his work, he communicates the meaning of the measurements and their findings to his subordinates, to his superiors, and to colleagues.
>
> "Finally, a manager develops people, including himself."[2]

Which element dominates? Drucker sums it up succinctly: "The manager works with a specific resource: man."[3]

If the critical resource in management is the human, the critical function in the management of that resource is evaluation. We go through fads in personnel. The dominant one in the last few years has been utilization, and to be completely in style we had to call it manpower utilization (that is, until womanpower forced that out of favor). Less popular at the moment, largely because it is so old in time and so daily in its demands is "the role of the supervisor." And of course "in-service training" is with us always.

We have been skirting the issue in all of these approaches, because anything we do towards more effective utilization, everything we do in supervision and training is based squarely on evaluation.

But "evaluation" -- that is that dreadful process on which personnel officers insist, at least once a year and always on those pink or yellow forms that never express properly your precise meaning.

(I have long suspected that the fact that the forms are always on paper of unusual color is an unconscious reflection of their separation from the reality of the work. Have you ever seen an evaluation form printed on white stock?) In organizations where the annual review is done at the same time for all staff it becomes a veritable orgy in which the entire staff - supervisors and supervised alike - visibly brace themselves for the ordeal and shock waves move through the organization: "It's that time again."

I would like to propose that evaluation need not be traumatic if we learn to evaluate performance, not personnel. Personnel evaluation is not something we should be doing; it is not something we can do.

We have been given some good shoves in this direction by the equal employment opportunity movement. The evaluation of personal traits and behavior and the evaluation of appearance and such factors as marital status have been stripped by law from the employment process. What matters is the skills. This needs to be done in the evaluation process too.

Let us take a look first at the objectives of the evaluation process itself. What are you trying to achieve by performance evaluation? Getting the piece of paper back to Personnel within the specified time and with the least possible damage to your own psyche and your relationships with your staff? Too often this is the primary objective. Unfortunately, the only thing achieved through this approach is the return of the piece of paper. The psychic damage is enormous to both rater and ratee (and this is what they are if this has been the process).

What should be the objectives? We can all recite in unison what

they should be: improvement of performance, better utilization of skills, identification of training needs, improved morale.

But how are these achieved through the evaluation process? This is where we must go back to the manager's first responsibility: the identification of organizational objectives. Robert Booth, the co-author of Personnel Utilization in Libraries, is a great believer in the concept of a "hierarchy of objectives."[4] He would identify the broadest conceptualization of the reason or reasons for an agency's existence as its central purpose, most usually called in government, the mission. From this central purpose multiple goals can be derived, and from each of the goals multiple objectives can be defined.

Without going into a discussion here of the distinctions between these levels and the precise terminology to be employed, we need to develop, within the broad purpose of the organization and within its time-tabled goals, clear-cut objectives for units of the organization and for individual positions. What are the tasks required for the achievement of a given set of objectives? How effectively is the individual performing these tasks?

This is what we should be measuring in the evaluation process. And if the individual has been involved in the setting of objectives in the first place and they are objectives he accepts as worth achieving and within his ability to achieve, he will be as able and willing to evaluate the achievement as his supervisor is. He can identify far more accurately than his supervisor the reasons for any shortfall in the accomplishment.

There is implied in this approach, so very easily stated, a great deal of complexity. In the first place, the behaviorists, from Maslow

on, have taught us over the last twenty years that the individual's own objectives, his own needs for satisfaction, must be met as well as the organization's objectives, if the individual is to be well motivated. In the job world represented by most libraries, the physiological needs, the safety needs, and the social needs of individuals are probably readily met. In most employment situations today, particularly among the so-called knowledge workers, it is the esteem needs - the needs for competence, confidence, recognition, and above all, the needs for what Maslow calls "self-actualization" that are the motivating drives.[5] The goal of the manager becomes what Douglas McGregor has defined as "integration: the creation of conditions such that the members of the organization can achieve their own goals best by directing their efforts toward the success of the enterprise."[6]

We are also beginning to understand that sound job analysis is a first step in evaluating both the utilization and performance of staff. That which needs to be done in order to achieve the objectives, i.e., the work, must first be analyzed to determine skill and knowledge requirements and other factors involved in its successful performance before jobs can be structured and assigned.

Objectives for individual positions can be and are being developed, however, with broadly defined general goals and specified attainable objectives for given periods of time. These provide yardsticks for the measurement of performance in terms of achievement, not in terms of the manner of performance. Drucker says:

> " 'Style' should never be a consideration...The only requirement... and the only test of the incumbent is performance. Every organization needs a clear understanding of the kind of behavior that is

> not acceptable. There must be a clear definition of the non-permissable action, especially toward people, whether inside the business, i.e., employees, or outside, i.e., suppliers and customers. But within these limits a man should have the fullest freedom to do the job the way it best suits his temperament and personality. 'Style' is packaging. The only substance is performance."[7]

When truly objective, performance-related yardsticks are used, a series of transformations takes place. The old anguish and soul-searching vanish. The anxiety is gone. Roles have been redefined, and the old concept of rater/ratee has been replaced by the concept of "we." The supervisor has become facilitator in the working toward agreed-upon goals.

Are we not, however, assuming something here -- that all workers and all supervisors want to meet these goals? That they care about meeting them? Yes, we are making such an assumption.

Douglas McGregor maintains that "every managerial act rests on assumptions, generalizations and hypotheses -- that is to say, on theory."[8] His well-known definitions of Theory X and Theory Y are part of the working vocabulary of every manager.

Theory X, the traditional view of direction and control, is based on assumptions that:

1. The average human being has an inherent dislike of work and will avoid it if he can...

2. Because of this human characteristic of dislike of work, most people must be coerced, controlled,directed, threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives...

3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, wants security above all...[9]

Theory Y, in contrast, is based on assumptions that:

1. The expenditure of physical and mental effort in work is as natural as play or rest...

2. External control and the threat of punishment are not the only means for bringing about effort toward organizational objectives. Man will exercise self-direction and self-control in the service of objectives to which he is committed...

3. Commitment to objectives is a function of the rewards associated with their achievement...

4. The average human being learns, under proper conditions, not only to accept but to seek responsibility...

5. The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population...[10]

McGregor never tested his theories empirically; and some who have attempted to manage solely by Theory Y have failed rather dramatically. In a sense, both Theory X and Theory Y are overstatements and oversimplifications, as McGregor himself indicated and clearly saw. I suspect that, like Thoreau, he crowed so loudly for purposes of waking his neighbors up. There is widespread agreement, however, as one of his disciples has said, that "the increased levels of education and mobility will change the values we hold about work. People will be more intellectually committed to their jobs and will probably require more involvement, participation, and autonomy in their work."[11]

Involvement, participation, autonomy. Is this not what we are talking about in the setting, achievement, and evaluation of individual goals?

We are also talking about development - staff development, self development. New skills, new knowledges will need to be acquired; new experiences will be required - for staff and even more particularly for supervisors. Despite its concentration on performance and achievement, which obviously are in the past, the focus of evaluation by objectives

is very much future-directed. "What needs to be done to make the future always exceeds and goes beyond what has been done in the past."[12]

And surely it is obvious that we are talking about communication - up, down, and sidewise; continuous and daily.

But what has happened to our forms in all of this -- our old "personnel evaluation"? Our deadlines? What happens to our merit increase? A piece of paper can still be used, but it is now a summary of progress made toward objectives, a summary representing the point of view of the person performing as well as that of the person supervising the job.

There can still be degrees of achievement expressed. Many consulting firms recommending management-by-objectives evaluation systems tend to emphasize highly quantitative formulae for measurement. It seems to me that only three gradients need to be used: (1) satisfactory progress towards the meeting of agreed-upon objectives; (2) extraordinary progress towards the meeting of objectives, in terms of rapidity and level of quality achieved; and (3) let us face it - unsatisfactory progress. There will still be those who do not make it, in this as well as in any other system. But in the analysis of why the individual has consistently failed to meet reasonable objectives, the first question should be, Where in the organization can the skills and attributes he has be more successfully used?

And what has happened to the hounding personnel officer? He is right here, helping to rethink placement in such instances, and guiding ans assisting supervisors in the principles and techniques of a goals-oriented, objectified approach.

You will note that we have not said any place that this system is easier; it is in fact extremely demanding of both worker and supervisor. But it provides psychic rewards, not penalties, for the participants and it integrates rather than divides the organization.

We started out to talk about the human element in organization and we have ended up with objectification - objectification in two senses of the word, I hope you will notice. In looking objectively at the achievement of objectives it would seem in effect that we have depersonalized the process. This is exactly what we have done. We have moved towards a more rational and systematic analysis of work results.

But to depersonalize is not to dehumanize. I have long used the UNICEF desk calendar, with its weekly aphorisms in English and in French. They are separate quotations, not translations of each other, and I am carefully saving one of this year's pages:

"The secret of education lies in respecting the pupil."

"Exercer librement son talent, voilà le vrai bonheur."

The French is attributed to that ancient Frenchman, Aristotle, and the English to our Yankee Mr. Emerson.

There are useful techniques we can learn from the management scientists, but when it comes to the human element we somehow always end up with the eternal verities. The real objective of management may well be never to lose sight of them amid the forms and the jargon.

Myrl Ricking

September 30, 1975

FOOTNOTES

1. Paul Goodman, People or Personnel (New York: Random House, 1965).

2. Peter F. Drucker, Management: Tasks, Responsibilities, Practices (New York: Harper and Row, 1974), p. 400.

3. Ibid., p. 402.

4. Myrl Ricking and Robert E. Booth, Personnel Utilization in Libraries: A Systems Approach (Chicago: American Library Association, 1974), p. 7-8.

5. Abraham Maslow, Motivation and Personality (New York: Harper, 1954; rev. ed. Harper and Row, 1970).

6. Douglas McGregor, The Human Side of Enterprise (New York: McGraw-Hill, 1960), p. 49.

7. Drucker, Management, p. 412.

8. McGregor, Enterprise, p. 6.

9. Ibid., p. 33-34.

10. Ibid., p. 47-48.

11. Warren G. Bennis, Changing Organizations (New York: McGraw-Hill, 1966), p. 12.

12. Drucker, Management, p. 415.

EMPLOYEE EVALUATION

(Introductory observations of Dr. Harold Coe before presentation of his paper, "Employee Evaluation, Some Problems and Techniques.")

When I looked at the program and found that I was the last speaker of this session, I tried to think of positive things about that, things that would comfort me somewhat. The obvious discomforting thing was that all of the brilliant things that I had planned to say would have been said already, and I think that many of them have. The thing that I then tried to comfort myself with was the fact that at least with no other speakers immediately following me, things that I say that might be easily challenged won't be challenged quite so soon. In any event, I'll trudge on here and give you some of my observations about evaluation.

The first thing is that evaluation goes on all of the time. It probably always has. Anytime that we have one person working for another, the supervisor does make evaluations. I think that the trend now is towards simply more formalization. I think that perhaps there are some disadvantages to this. One disadvantage is that as evaluation becomes more formalized, it also becomes more threatening. The fact that it is now going to be written on a piece of paper, placed in a folder, and filed away causes it to become more threatening to the individual. Individuals who are subjected then to formalized evaluation plans may want to fight the idea. They may become resentful and perhaps have a number of unfortunate consequences.

I did not expect to hear in a group of librarians two terms that I have heard within the last hour. One was "collective bargaining," and another term was "unions." I was a little surprised. I guess you are thinking of the problems and the benefits that they bring. I want to

EMPLOYEE EVALUATION
(Continuation of introductory observations of Dr. Harold Coe)

point out in connection with this that the insistence of management upon bad evaluation systems is a great favor to the unions. The unions really thrive on this. They benefit also from our insistence upon forcing evaluation on people who really do not understand it and who feel threatened by it. You will find that the answer to this many times is with unionization. Unions can sell employees on collective bargaining by saying, "We're going to replace all this nonsense with something called seniority, something that you can understand, something that's going to be fair to you, something that can be printed, published, put out in the light of day, not secretive and locked away, so that you will know just where you stand." I think that if we are going to get involved in formalized evaluation plans, we ought to do it with considerable respect for what we are doing and do it very, very carefully, very, very well. One of the things that I think employees deserve to know, where you are using formalized evaluation plans, is, "What are you going to use them for?"

(Dr. Coe continued with information included in his paper, "Employee Evaluation, Some Problems and Techniques.")

EMPLOYEE EVALUATION
Some Problems and Techniques

by Harold Coe

Employee evaluation is a systematic way for one person, usually a supervisor, to record his judgment about the job performance of an employee. Employees have probably always been evaluated in some fashion, but usually quite informally. Recently evaluation plans have become more and more formal and more emphasis placed on evaluation programs.

Other terms meaning about the same thing as evaluation are employee appraisal and merit rating. These are terms for systematic plans for judging how well an employee is doing his job and recording those judgments. Terms which might be confusing but do not mean the same thing are job analysis and job evaluation. Job analysis is a study of the duties, responsibilities, requirements, and skills needed by all employees who perform the job. Job analysis is not an attempt to judge how well each employee is performing the duties. Job evaluation is the technique for figuring what range of pay employees in a job classification should have in relation to the employees in other classifications. Like job analysis, job evaluation is concerned with requirements of the job, but is not concerned with how individual employees are meeting those requirements.

Employee appraisal or evaluation is concerned with how well each individual performs his work. There are several purposes these evaluations are intended to serve. Some of the important purposes are as follows:

> Pay increases. There exists the attitude in most organizations that those employees who contribute more to the goals of the organization should be given greater monetary rewards. Thus the employee who performs his job in an outstanding fashion should get larger pay increases than the employee who is just

barely meeting the minimum requirements of the job.

Counseling. From time to time the good supervisor feels he should talk with his employees to let them know how they are doing and how they can improve. Merit ratings can provide much of the substance of these discussions.

Motivation. A belief shared by psychologists and many executives is that people learn and perform better when given some feedback about performance. Employee evaluations provide this feedback.

A check on hiring practices. In large organizations where new employees are constantly being hired it makes sense to investigate the effectiveness of selection procedures. The effectiveness of such hiring procedures as personnel testing and interviewing can be determined by later evaluations of applicants hired.

Promotion. Merit rating data can provide some help in identifying those employees who have the qualities necessary for higher level jobs.

Retention. Often, when a cutback in the number of employees is required, length of service is the sole basis for determining which employees will be released. In some instances, however, merit rating information is used in conjunction with length of service to make layoff decisions. This is particularly true in the case of the release of probationary employees.

If merit ratings are to provide the basis for the above personnel activities, then we would hope that merit ratings yield valid information. Is there evidence that employees rated "good" are making more of a contribution to their employer than employees not so highly rated? Unfortunately, there is very little such evidence. The reason for this lack of evidence is really quite simple. If we had solid, objective criteria of job performance against which to judge the subjective merit ratings, we would not even bother with subjective evaluations. For example, if on a particular job the only important consideration is how many widgets are assembled per day, the actual amount of production will

be used to measure the value of the employee. There is no need to make subjective evaluations about his efficiency. Where we use subjective employee evaluations is where we do not have objective, measurable criteria such as the number of units produced per day.

Although we do not have measures of merit rating validity, we can determine if there is agreement among different raters. A merit rate plan that has a high level of agreement among different raters is said to have inter-rater reliability. This is the way that merit rating systems are often judged for fairness and effectiveness. Obviously one can easily argue that just because three raters have a high level of agreement in their ratings, the ratings are not necessarily fair or valid. All three raters could be making the same poor judgments. However, since personnel decisions have to be made whether a formal evaluation plan exists or not, it would seem we should make an effort to have a plan which reduces human error as much as possible.

Before describing different techniques, let's consider some of the types of errors common to ratings.

> Halo effect. The halo effect is thought to be the most pervasive error in evaluation. Raters succumbing to the halo error assign ratings based on a global impression of the ratee rather than carefully distinguishing different dimensions of performance. The employee who is judged cheerful and polite is rated high on all dimensions even though that employee may be below average in several areas necessary for successful job performance.
>
> Constant errors. There are three well observed constant errors. Probably the most common of these is the error of leniency. Raters who exhibit this tendency bend over backwards to be generous to all ratees. Such raters may feel a sense of guilt to rate otherwise. Unfortunately lenient ratings for everyone contribute very little towards making sound decisions. Another constant error is the error of central tendency. The

insecure rater avoids being completely wrong by rating everyone average. Very little is gained when all employees have the same rating. The other fairly common constant error is error of being overly critical. The hard-boiled or over-demanding supervisor rates everyone below average. The concept of "average" precludes the possibility of everyone being below average.

Similar-to-me effect. This error is a tendency on the part of the rater to judge more favorably those he perceives as similar to himself. The more closely the employee resembles the supervisor in attitudes or background, the stronger the tendency to rate that individual high.

Contrast errors. How good a rating an employee gets can be influenced by the immediately preceding ratee. The second person might get a lower rating than deserved if the first person rated was given a very good rating. Conversely, if the first ratee is rated low, the second ratee may get an elevated rating.

Personal prejudice. When a supervisor likes an employee as a person, the supervisor is likely to give a rating more lenient than the job performance of the employee warrants. On the other hand, the supervisor will probably give a rating that is poorer than deserved to an employee not so well liked. Raters are usually unaware they have such prejudices. Many personal prejudices are based on first impressions. If our original perceptions of a person are favorable, we will maintain a generous attitude toward that person; when the first impression is unfavorable, a lasting unfavorable attitude toward the person can result. These attitudes can easily influence merit ratings.

Job level bias. There is the tendency for the level of the job to influence ratings. Employees in higher level jobs are perceived as performing better than employees in lower level jobs.

The most commonly used formal evaluation plan is one that could be called the chart method. This system utilizes a number of performance factors, or job behaviors, on which the employee is rated. Such factors as quality of work, leadership effectiveness, and dependability are frequently included. The number of factors may be five or fewer, or may be more than twenty. Five performance factors is fairly typical.

EMPLOYEE EVALUATION

For each factor there are several performance grades. Quite often five performance grades are used ranging from excellent to poor. Three, four, and seven performance grades are not unusual.

Since the chart system of rating is so common, I will discuss techniques that can be used to improve that merit rating method.

Behavioral anchoring. A technique that can minimize several of the previously discussed errors is the technique of behavioral anchoring. Behavioral anchoring means replacing the words "excellent" or "average" in the performance grades with short descriptions of actual job behaviors. For example, when rating on the factor compatibility, the grades of "excellent" and "poor" might be replaced with the behavioral anchors "inspires others to work with and assist co-workers" and "does not work well with or assist others." This technique is particularly helpful in breaking up constant errors and also helps reduce halo effect and other errors.

Critical incidents. A merit rating system somewhat different from the chart system is the critical incidents method. This method consists of the supervisor keeping a record of actual job behaviors that are critical in the sense that they are outstandingly good or outstandingly poor. At the end of some predetermined time the supervisor discusses these behaviors with each employee who was observed. The critical incidents technique is thought to be particularly good when the only purpose of evaluation is to counsel employees. Usually, however, the evaluation is for more than just this reason. The critical incidents idea can still be helpful when the chart system is the primary method used. First, the critical incidents method can be used to supplement the chart method. Thus when employees are brought in to review their ratings, the supervisor can not only discuss ratings in terms of performance grades, but can also discuss actual, important things the employee has done on his job in the last few weeks. Secondly, behavioral anchoring statements can be developed by the critical incidents technique. Both supervisors and other employees can be invited to submit observed incidents. There is some belief that this process helps make the rating form more realistic. In addition, the active participation of employees in helping to develop the form is thought to reduce some of the negative feelings employees have about merit rating.

Horizontal rating. To help break up halo and constant errors it is often advisable to rate all employees on the first performance factor, then all employees on the second factor,

and so on. The practice of doing this instead of rating employee one on all factors, then rating employee two on all factors is called horizontal rating. To reduce contrast errors the rater could change the order in which employees are rated for each of the several factors.

Forced distribution. A possible technique when constant errors are observed is to set guidelines for the per cent of employees who are to be in each performance grade. These quotas can be absolute or approximate. In rating, this concept is referred to as the forced distribution. The assumption is made that in a group there will be individual differences. Not everyone in the group will be excellent; not everyone poor. A similar assumption and technique in college grading is called "grading on the curve".

Training. Possibly the most effective way to reduce errors is by training raters to recognize the sources of these errors. Training techniques that have recently shown some promise are simulation and conference. In the simulation technique video tapes showing a rater making errors have been employed. In the conference technique conferees are asked to provide examples of their own that illustrate evaluation errors. Other conferees then identify the type of error and discuss. In addition to skills training some attitude development is desirable. The rater who feels that evaluation is a silly waste of time--just a meaningless, routine chore--will most likely do a poor job. When supervisors actively participate in the design of the merit rating plan, they are more likely to employ the program effectively.

Without doubt much negative criticism of evaluation plans is legitimate. When merit rating plans are poorly designed and poorly administered, employee morale will suffer. Even with relatively good programs, employees will feel some threat. In spite of the potential problems created or amplified by rating employees, evaluation is very much with us at present. It would seem then, that we should use evaluation as intelligently as possible.

DEVELOPING AND USING A PERSONNEL EVALUATION SYSTEM

By Paul Mali

The practice of personnel appraisals has not been consistent in organizations. It has fallen on a spectrum between two extremes: informal, random, slipshod and highly opinionated judgements made by one individual of another to formal well organized objective criteria in systems for accurate assessment of results.

The reason for this wide practice is due to the varying uses appraisal procedures are intended to accomplish. These uses state the type of appraisal method that will provide a reasonable "fit" between the organization and its staff for carrying out its managerial processes. In other words, the purpose of the appraisal in large part shapes the criteria, method, measures and type of feedback to be employed.

PURPOSES OF PERSONNEL OR PERFORMANCE APPRAISALS

There are many reasons for setting up appraisals within an organization. The following briefly describes the major ones:

1. To Account for Productivity

   Performance Appraisals provide an evaluative procedure for review of a person's work-related accomplishments and contributions and the corrections that can be made for more efficient handling of resources.

2. To Develop Personnel for Positional Changes

   Performance Appraisals provide better data and information for making decisions on promotions, transfers or demotions.

3. To Justify Pay Increases

   Performance Appraisals provide the framework for comparing and evaluating employee's performance in levels of equity for wage and salary increases.

4. To Set Up a Feedback for Organizational Change

   Performance Appraisals provide a feedback of how well the managerial

processes are operating with the staff and what changes are required.

5. To Set Up the Conditions for Achievement Motivation

Performance Appraisals when properly developed provide the basis for motivating staff and employees to reach higher levels of performance through a plan-do-achievement cycle.

6. To Identify Employees with Hidden Potential

Performance Appraisals provide a formal way to identify high potential employees who are assigned jobs which are not utilizing their potentials. (Underemployment)

PERFORMANCE EVALUATION TECHNIQUES

Once the purpose of the appraisal system has been decided, the method or technique must be selected and developed. There are many evaluation techniques and approaches available. Only six (6) approaches will be described here. Most of these six (6) techniques are designed for evaluation of subordinates by superior or superiors. Advantages and disadvantages are given for each technique.

1. Trait Appraisals (Graphic rating scale)

The most widely used performance evaluation technique is the trait appraisal. The evaluator (superior) is presented with a series of traits or work-related characteristics and asked to rate employees on each trait or characteristic shown. Examples of traits are: Quantity of work, quality of work, cooperation, dependability, initiative, leadership and personality.

Advantages:
a) Simple, easy and uncomplicated
b) Reaches for human qualities we know are important in getting results.
c) Recognizes all organizations where people are banded together are social organizations requiring certain characteristics to make it work.

Disadvantages:
a) Supervisors are reluctant to label deficiencies and criticism without foolproof evidence.
b) Very unilateral; employee not involved.
c) Tendency to remember recent or negative incidents.
d) Difficulty in trait meanings and definitions.

2. Critical-Incident Appraisals

This appraisal technique is not used very often. It is an "essay" type of appraisal where important experiences or incidents, positive and negative are recorded. The incidents are recorded in a log of some type, often daily, so that they are not forgotten. For example, if an employee has a disastrous experience with a client and hostility was exchanged, the superior records the incident.

Advantages:
a) Relates closer to job elements compared to the trait approach.
b) Records work incidents that are never known with any degree of specificity.
c) Overcomes partial remembering or latest incident remembering.

Disadvantages:
a) Log tends to have a "police" adjudication procedure.
b) Log tends to identify more negatives than positives.
c) Employee usually not involved in this appraisal method.

3. Standards of Performance Appraisal

This appraisal technique commands a great deal of interest by many organizations. The method requires a series of descriptive and quantitative statements that represent standards of effective accomplishment on jobs. For example, a performance standard for a supervisor is: Overtime hours are less than 4% of scheduled hours.

Advantages:
a) Very directly relates to the requirements of the job.
b) Specifies the level and consistency of effort necessary for job effectiveness.
c) Subjective judgements are minimal.

Disadvantages:
a) Little or no participation of the employee with the standards or the evaluation.
b) Not all important areas can be quantified.
c) Can only be used where work does not change frequently.

4. Process Standards

This appraisal technique has had a recent interest because of "due process" requirements of civil and individual rights. The method requires a series of descriptive and quantitative statements that represent standards of effective behavior on the job. The

difference between process standards and standards of performance is that process standards refer to the behavior of the person and standards of performance refer to the work and resources of the job. Examples of process standards are: absenteeism, tardiness, alcoholism, violation of rules such as coffee breaks, safety mishaps and insubordination.

Advantages:

a) Controls behavioral activities directly needed by the job.
b) Specifies the human behavior that will lead to job effectiveness.
c) Provides information and data that is critically needed for "due process" procedures.

Disadvantages:

a) Human behavior too broad to describe for levels of effectiveness.
b) Not all behavior can be externally controlled.
c) Good performers can have terrible behavior patterns.

5. Managing By Objectives Appraisals

This appraisal technique has developed a great deal of interest by organizations because of the need for resource accountability and motivation for results. The method requires the supervisor and subordinate sit down during a planning period and agree to the results expected to be accomplished during the operating time. These are written as objectives. At the end of this period, both sit down and evaluate results achieved. An example of an objective is: Reduce costs during the current operating year 24 percent of approved budgets prorated 6 percent per quarter.

Advantages:

a) Future oriented, does not have to follow past practices.
b) Not passive, involves supervisor and subordinate.
c) Role of evaluator changes from defensive to counselor.
d) Highly connected to results needed and expected by the organization.
e) When used properly, will motivate staff.

Disadvantages:

a) Targeted results can be influenced and changed by so many uncontrollable factors.
b) Ignores personal traits, activities and work habits that are deemed important.
c) Difficult to tie pay to performance.

6. Eclectic Appraisals

This appraisal technique is probably the most effective one for most organizations. It is a technique which selects elements and

parts from the complete spectrum of appraisal technique possibilities and "fits" them to the purposes and needs of the situation. The technique requires a careful commitment of what the appraisal process is expected to accomplish. The selection of appraisal elements are designed to meet this expectation.

Advantages:
a) Avoids slavishly preconceived ideas and methods.
b) Tailors evaluation to an already tailored situation.
c) Handles effectively purposes that are many and complex.

Disadvantages:
a) Can only be used by people who are competent skillful.
b) Comparisons between and among groups made more difficult.
c) Requires a systems approach in which the entire organization participates.

HOW TO SET UP AN APPRAISAL PROCESS

First: Form an Appraisal Development Committee.

This committee consists of representatives from Administration (Raters), from subordinates (ratees), personnel staff and a knowledgeable consultant. It's practical to involve all those who will be affected by the appraisals with those who must administer appraisals.

Second: In Committee, decide on the purpose (s) of the Appraisal System.

The committee identifies what the appraisal system is intended to do. If several purposes are adopted, a priority rank must be made since multiple purposes are difficult to be served equally by a single appraisal system.

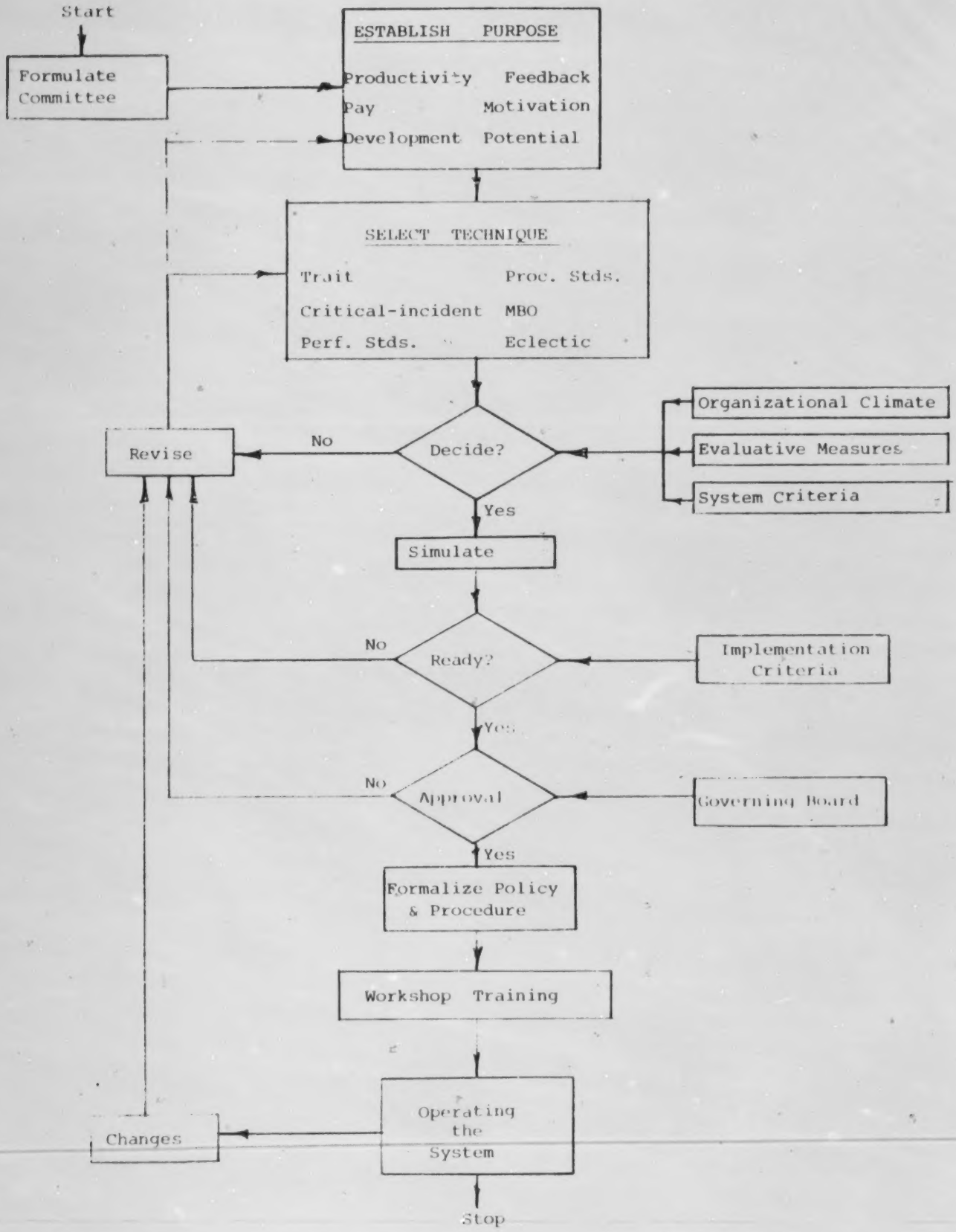
Third: Select the Appraisal Process best suited for the purposes.

The committee examines all techniques available and with the organization's climate and conditions in mind, proceeds to select the process best suited for the organization.

Fourth: Develop an evaluative measurement form.

An evaluative measurement form is developed which incorporates the performance criteria and measures which will serve to evaluate personnel. The performance

THE APPRAISAL DEVELOPMENT PROCESS



DEVELOPING AND USING A PERSONNEL EVALUATION SYSTEM

Fifth: Simulate the newly adopted appraisal procedure in selected areas.

Selected areas in the organization are identified as providing a trial of the appraisal procedure. A good simulation is one which incorporates the best, worst and average situation.

Sixth: Revise and formalize the appraisal process.

Examine the difficulties and areas needing change and revise procedure, criteria and evaluative measurement. Formally write-up the entire appraisal process as a policy accompanied with a set of instruction to the raters.

Seventh: Gain official approval of the appraisal process.

Submit the policy, the procedure process and the evaluative measures to the governing boards of the organization for official adoption in the organization.

Eighth: Set up workshops for training the raters.

Workshops are set up to give raters complete information on the policy and procedures as well as skills for: conducting an unbiased rating; holding an appraisal interview; agreeing on future actions to be taken; and recording essential information for future reference.

Ninth: Operate the appraisal system.

Operate the five steps of the Appraisal Process:

1. Preparation of commitments
2. Planning and scheduling activities
3. Implementing the planned activities
4. Hold progress reviews
5. Conduct annual reviews and feedback.

HOW TO APPRAISE WITH MANAGING BY OBJECTIVES (MBO)

A performance appraisal system using the managing by objectives approach should be tailored to meet unique requirements of the company, department, or individual. As a rating device for individual performance, the following steps need to be taken:

DEVELOPING AND USING A PERSONNEL EVALUATION SYSTEM

1. Prepare commitments. The individual prepares a preliminary list of the three to five most important objectives to be achieved in a given year. These objectives are intended to solve a problem or take advantage of a new opportunity. These are developed with careful regard and analysis of responsibilities, needs and challenges. The superior participates in this development. The final commitments are written as objectives and not as activities. It will take practice and skill to set these in the right nomenclature. Areas of responsibility that give rise to objectives might be the following: volume output, quality level, cost performance, methods improvement, housekeeping, sales, skills development, and time control. The objectives developed from these areas form the basis for discussion and subsequent joint agreement between subordinate and supervisor. Each objective must be written according to guidelines that make objectives measurable. A most important guideline is building the performance measurement or indicator into the statement of objective. Without this quantitative indicator, progress toward results becomes merely a matter of interpretation. Performance standards for the activities are developed to indicate the level or intensity of effort that is needed to achieve the objectives. From this standpoint standards of performance are used with objective statements. Prior agreement is obtained on these performance standards and evaluation is made on this basis. The job or position descriptions can be useful if they are written to incorporate both objectives and standards. If not, new appraisal forms should be developed.

2. Plan and schedule activities. Both supervisor and subordinate reach a common agreement on the methods and activities necessary to reach stated objectives. Outside departments and personnel may be involved as resources to pull together all necessary work for the objective program. There must be a meeting of the minds between a supervisor and a subordinate in this step in order to acquire confidence in reaching stated objectives. The value of working toward a targeted date must also be included. Feeder-objectives can be set into a time schedule that both supervisor and subordinate agree upon.

3. Implementing scheduled activities. The subordinate proceeds to implement his planned objectives. The individual applies his skill, ingenuity, effort, time, and energy in getting done what has to be done. The supervisor provides day-to-day coaching and help to the individual. Managing by exception is not the rule in this case. The supervisor does not sit back and wait for exceptions to arise before he acts. Instead, he looks for progress in implementation, both positive and negative, and wishes to be informed of not only what is wrong but also what is right.

4. Progress reviews. Periodically, during the ensuing months, there should be formal discussions relating to the objectives that were set. These could be quarterly progress reviews. The purpose of

such reviews is to keep a greater proportion of management informed of progress in order that objectives may be revised if necessary. New objectives may be introduced, some eliminated, and priorities reorganized. These reviews are not intended to be performance appraisals with formal interviews to discover individual performance. The aim is to determine work progression toward meeting targeted objectives. The atmosphere is one of mutual help, progress assessment, and problem solving.

5. Annual review. The underlying value of annual performance review is the opportunity it affords to gain feedback about results achieved and information about progress toward results expected. The annual cycle is convenient because of other annual instruments such as budgets, profit statements, and forecasts. The manager prepares, in advance, this annual review summarizing individual achievements and suggesting ways to improve in subsequent years. The principal purpose of the formal annual performance review is to determine what was actually accomplished and what improvements can be made. Causes for lack of progress or lack of achievement are brought out at this time. There is a meaningful exchange between supervisor and subordinate.

PERFORMANCE APPRAISALS WITH MBO: BENEFITS AND VALUES

1. MBO appraisals relate more closely to the job. An MBO appraisal is oriented toward job requirements and work results rather than toward personality traits or general descriptors. Specified objectives are highly related to results needed and expected by the company. Evaluation is tailored to an already well-structured situation. Job clarification and responsibility definition from the practice of managing by objectives make appraising more accurate.

2. MBO appraisals are more objective. Supervisors are usually reluctant to cite deficiencies without outstanding evidence. Having reliable and accurate information on performance helps the supervisor to be less subjective. The role of the appraiser changes. He does not have to defend his position. The supervisor is on solid ground during a confrontation with employees. He is armed with information which the employee is acquainted with and understands.

3. MBO appraisals are active and positive. The appraisal involves both the supervisor and the subordinate and thus is not passive. Each is active in a positive way in assessing job performance. There are no unilateral actions, as found in other appraisal systems. This enhances a meeting of the minds, communications, job expectations, and motivation.

4. MBO appraisals are opportunistic. Appraisals do not have to follow past practices or procedures. New opportunities or new challenges

are easily handled within the objective-setting process. The performance appraisal approach avoids slavishly following preconceived ideas and methods. It encourages an employee to innovate because it is future-oriented.

5. MBO appraisals encourage performance stretches. There are many purposes to appraisals. Chief among them is the stimulation it gives to improving individual performance. The mission of improvement is generic to the practice of managing by objectives. Level and consistency of effort can be readily evaluated for individuals in the system.

INTRODUCTORY REMARKS
by
Dr. Paul Mali

Session I, October 24, 1975
3:50 P.M.

Ladies and gentlemen, it is my pleasure to participate in this Institute. I am very much pleased to be here with this very distinguished group and to share with you some of the management thinking in this area of personnel appraisals.

Of the team that you saw this afternoon, I guess I represent more of the practical side of appraisals, having done so much of it in so many different organizations, and having collected so many different types of problems. I'd be most willing to share it with you along the way. I'd like to just make a couple of points to get us started. First of all, let me do it in the context of a hypothetical situation:

> Suppose that Monday morning, when you got back to your libraries, you got a note - a memorandum - from the Chairman of the Board or the President of the University, or what have you - the note says: "Twenty-five per cent of your staff must be laid off for lack of funds, and every effort must be made to continue the level of services." What would you do?... (Laughter.) Well, you just had this? Maybe I didn't make it dramatic enough. But you get the point. Hypothetically. (God forbid it's for real.) But, hypothetically, if Monday morning, you had that note, "Twenty-five per cent of your staff must go for lack of funds, but the level of services must be continued." WHAT WOULD YOU DO? (General audience reaction.)

I think that's a very normal reaction - "I quit! I won't take it." Some of you might say, "Ah, I'm going to battle this one. I'm going to fight it." Some of you might not know what your reaction would be.

But some of you might say well...What <u>can</u> we do? Some of you might sit down, and you might start asking, "<u>Could</u> we do it?" Now any of you here who raise <u>that</u> kind of question - You're in management. When you say,

"Could we do it?" Not, "I won't do it!" "I quit!" "I resign!" "I give up!" But you say, "I wonder if we could do it?" Ladies and gentlemen, what's going on in the libraries today is going on in every industry. I'm telling you something that is hitting the big boys as well as the little boys. Right now we are entering the Age of Scarcity. And resources...if you think you haven't got much right now, wait and you'll see what's going to happen to your resources.

They are going to be eroded more than they are now, and so therefore, we are truly confronted with the problem of how do we handle the management of scarce resources that are continually becoming more scarce. And if you are unhappy about this, I'm really honestly saying that there's a question of whether you are in the management periphery, because management people do this all the time. Now, what I'm saying is this: the folksy style of administration in which blank checks were given to organizations such as universities, and in the latter part of the fifties and the early part of the sixties, universities were given blank checks. "Here, build, build, build your libraries, fill them with books, blank checks. No accountability." Those days are gone, and never to come back again, at least for the immediate future. What we're saying is that librarians are going to have to step up and become managers of resources, which means you have got to come to grips with accountability. You're going to have to account for the funds you have for your budgets, even in the face of dwindling budgets.

The administrator who has come up the ranks as an excellent librarian, and I am sure this includes many of you here, is now faced with some problems he has never been faced with before, and he is going to have to acquire some new skills.

The disorganized administrator is beginning to become very frustrated because of these problems. They are failing to see a very important part

This page should have been inserted between pages 48 and 49.

PART II

TRANSCRIPTION OF DISCUSSIONS AT THE PERSONNEL EVALUATION INSTITUTE
October 24-6, 1975

of what is going on in their operation, and that is that libraries are very complex operations, systems if you will, and until you accept the fact that you are in a system, you are going to have a lot of problems. It is the systems that are going to be the answers to many of your problems. In fact, I was just chatting a little earlier at the break with one of the participants, and I made the point that many of the problems that developed or emerged from appraisal systems came from the fact that you failed to realize it as a system. You treat it as a method. You treat it as an act. You treat it as an event. You shouldn't. You should treat it as a process. You should treat it as a work-planning process, connected with a work-doing process, connected with a work-control process, which then becomes evaluation. The problem with many of the people who are having problems with appraisals is that they have separated evaluation from the work-planning - doing - and - control process. Now the more you move it in, the less the headaches. What I'm saying is that those who have few problems with evaluation are those who build it into the work-planning, work-doing, and work-control, as Dr. Green was saying so nicely about the process of management, build into these things here those things which make evaluation easy. The first case then - evaluation.

Most of the problems we have are due to this lack of a system. We are only grabbing parts of it, and that reminds me of a tale of the three blind men who were asked to describe the elephant.

> One blind man got a hold of the tail, and feeling this, he said, "The elephant is like a rope." The second blind man began to feel around, and he felt this great big trunk, and he said, "Hey, you are wrong. This elephant is more like the trunk of a tree." And an argument ensued as to what an elephant is really like. The third blind man was feeling around and all of a sudden he felt this great big flat, flabby wall, and he said, "You fellows are wrong. This elephant is like a wall, big and soft. An argument ensued between the three--an argument which continues to this day, because: The moral to the fable is: The position of the storyteller, the one who is standing back and really sees the elephant - what it really is - the configuration, the geometry, the envelope, the complexities, the storyteller sees what the elephant

is really like, and sees how all the blind men are correct in their description of all the individual parts. He sees how incorrect they are in inferring the totality.

A new question has been raised about how to get that elephant to move, but that is a question of Productivity, and I don't want to get into that, because that's one of the problems.

But what I am saying is that you must think in terms of systems in the appraisal arena or process. And you must start--Appraisals do not start with forms. Nor do they start with people. They start with - What? With the work planning, with the work planning, and of course, we'd like to think of it as objectives--managing by objectives. In fact, I hope some of you will take advantage of some of the resources that we have available here. I have written the book, Managing by Objectives. Of course, if you have this book in your libraries, I know you're outstanding. This will be available in our workshop tomorrow. I also have another excellent book that I'd like to refer you to. Marian Kellogg, of the General Electric Company, has written, What to Do About Performance Appraisals. It was just published in the revised edition. I recommend that, and it will be available to you tomorrow. I also have the book by Myrl Ricking and Robert E. Booth, Personnel Utilization in Libraries: A Systems Approach. This will be available tomorrow to you in your workshop. I have a whole flock of forms, appraisal forms that I brought in: Northeast Utilities, United Airlines, Can-Co, Lockheed. They will be here for you to look at, but the one that I am really proud of is this. We worked on it a long time. It is one that we did for the Aetna Life and Casualty Company. It's complete from cover to cover. We call it: Performance Planning, Appraisal and Development. You see how the system comes right out. Performance, Planning, Appraisal and Development. I wish I had thought of it earlier and had sent this in advance, so each of you could get a copy. It may be that we can get copies

for you somehow, but it will be available tomorrow for you to see.

Now my role in this Institute is an attempt to get you involved with your problems. I think the speakers did an excellent job in citing the management processes, what they are. We found a discussion of some of the concerns that top management has in what Walter Curley spoke to, but as President (of Gaylord) he was really tipping his fingers a little bit maybe. He was really saying, "These are some of the things that I expect of my people," and I don't think you will find leadership in other organizations any different. And then, of course, we had the last two speakers who gave really the human elements within the appraisal process, and of course, Harold Coe with his errors and his techniques. Incidentally, in my paper, you will find more techniques, and these kinds of things, but you will find me addressing myself more and more to appraisal as a system. That's what you want. Somewhere along the line, a form will come out, but it's the system that you really want to design. So my role is to see if we can get problems from you. See if we can get you speaking to your concerns. And this will be the procedure: Tom Brown is going to record some of these problems that you speak of and some of the concerns you have. Tonight Tom and I with some of the committee members will try to put these problems together into some kind of organized fashion, so that tomorrow morning, when you come to the Workshop at 9:00 A.M., we will have different conference rooms lined up as places for discussion of each problem area. And, hopefully, you will select the areas of your concern and your interest, and go into these rooms. All of the people on the panel will be available to discuss with you some of these problems. They will act as resources within these conferences. O.K.? So that's our plan.

Now, one other thing. If you should decide to go tomorrow into one

room to spend most if not all of your time on a series of problems, you will still have an opportunity to hear what is going on in all the other conferences, because at some later point tomorrow afternoon, we are all going to get together and we will get reports on all of the deliberations and decisions and recommendations that were made in all of the conferences. So hopefully, you will get two great benefits: first, you will go to a conference area that speaks to the problems that you're concerned with and; secondly, you will listen to so-called recommendations on all of the problems that will be presented when we come back in general assembly. O.K. That's the procedure, but what I'd like to get from you right now within a very limited period of time, and if you want we can also talk about these things, is some of the concerns that you have on your minds. Anyone want to start us off? O.K. Would you mind standing and giving us your name. Perhaps they all might know you, but then there might be, but give us your name and where you're from, and tell us what you'd like to see in the workshops tomorrow.

(Questions that came from the floor at this time are not recorded here. They were included in the compilation of questions that were considered by the discussion groups. They are listed on the pages preceding the Reports from Discussion Groups.)

INTRODUCTION OF CONSULTANTS AND DISCUSSION LEADERS

By Myrl Ricking

Session I, October 24, 1975

I don't know how I achieved this happy duty, but I have it, and I assure you that the people being introduced are not going to give talks at this time, but we want you to meet the Consultants and Discussion Leaders and any other staff members who have not appeared on the platform this afternoon. This will help you to identify them and perhaps talk with them as we proceed to dinner, and when we gather in the sessions tomorrow, you will know who they are.

We are especially pleased to have with us Dr. Jesse H. Shera, Dean Emeritus of the School of Library Science, Case Western Reserve University. Next to him is Miss Cosette Kies, Assistant Professor, at the School of Library Science, George Peabody College. Next is Miss Ruth Gregory, Librarian of the Waukegan (Illinois) Public Library. We have talked about the next person a lot, but he has not been introduced formally. He is a Consultant and a member of the Planning Committee, Mr. Tom Brown, Librarian, New Trier West High School. On the other side of the room is Dr. Peggy Sullivan, Dean of Students, University of Chicago Graduate Library School. And in the same general direction, is Miss Betty McKinley, Director of the DuPage Library System. The next person is Mr. Rick Haegele, Manager of Training, Department of Personnel, Office of the Secretary of State, Springfield. We have also Miss Geneva Finn, who is serving as Evaluator of the Institute. Miss Finn is a student in the doctoral program at Indiana University. One other person will join us tonight, Miss Ruth Frame, the Deputy Executive Director of the American Library Association. This completes the presentation of the staff. Thank you very much.

GROUP DISCUSSIONS

Saturday, October 25, 1975 SESSION II
9:00 A.M.

COORDINATOR - Dr. Paul Mali

Questions organized under four headings were distributed to each person, and plans for the formation of discussion groups were announced. Leaders for six discussion groups were identified:

GROUP I	-	Mr. Walter Curley and Dean Jesse H. Shera
GROUP II	-	Miss Ruth Gregory and Miss Cosette Kies
GROUP III	-	Dr. Harold Coe and Mr. Rick Haegele
GROUP IV	-	Miss Betty McKinley and Miss Myrl Ricking
GROUP V	-	Dr. William E. Green and Mrs. Ruth Frame
GROUP VI	-	Dr. Peggy Sullivan and Mr. Barry Simon

The organization of the questions to be considered by the groups is given below. These questions were developed from those problems and concerns identified by the participants before and during the first day of the Institute.

GROUP I TO ACCOUNT FOR PRODUCTIVITY

1. How can job descriptions be used as a basis of employee evaluation?
2. How can you collect evidence of work performance to make evaluations foolproof?
3. What are the implications of Affirmative Action criteria in relation to evaluation?

GROUP II TO ACCOUNT FOR PRODUCTIVITY

1. What are the criteria of evaluation relative to workload according to library standards?
2. How do you make peer evaluations work and have the ratee accept the evaluations?
3. How do you write job descriptions when the work continually changes?
4. How can an appraisal system be used to supply information to reveal people unsuited for jobs that they occupy? (This includes those who are over-qualified and the under-qualified.)

GROUP III TO MOTIVATE FOR PERSONAL DEVELOPMENT

1. What can be done to change the appraisal system which gives a six-months probation period during which an employee performs well, but performs poorly when placed on permanent status?
2. How can an appraisal process handle old time employees who resist change emerging from new work to a point where termination is indicated? The file on these old timers indicates that the work has been satisfactory in the past.
3. How can an evaluation system provide the incentive for personal development such as taking Library Science courses?
4. How can you create the climate for appraisal interviews?

GROUP IV TO MOTIVATE FOR PERSONAL DEVELOPMENT

1. How can an evaluation system provide the incentive for personal development such as taking Library Science courses?
2. How can a subordinate get the institution to adopt an appraisal system which provides him an opportunity to demonstrate his ability and achievement?
3. How to create the climate for appraisal interviews?
4. How can the appraisal process give the needed information for selecting employees for higher positions and/or transfer to other jobs?

GROUP V TO JUSTIFY PAY INCREASES

1. How can an evaluation system be the basis for increasing pay for employees?
2. Can any personnel appraisal system survive without its being related to salary?
3. What can be done to an evaluation system to increase Board-employee relations in order to break the minimum wage level?

GROUP VI TO DESIGN A COMPLETE APPRAISAL SYSTEM

1. What is the design of an effective appraisal form?
2. How can we design a common appraisal process for use among unique and different libraries, while allowing evaluative criteria to be flexible in yielding fair appraisals among all employees?
3. How do you develop an evaluation process for a small group that can be used also with a larger group? (This indicates an organization that is expanding.)

SUMMARY REPORTS FROM THE GROUP DISCUSSIONS

Group I - Leaders: Mr. Walter Curley and Dr. Jesse H. Shera

Reporter - Mr. Walter Curley

The discussion started promptly at 10:00 with a bang and ended at 2:00 with a whimper. There was consensus on virtually nothing. We had two views on everything, and so I will give you two views on everything.

One question was, "What are the implications of affirmative action criteria as they apply to evaluation?" Part of the group felt that equal opportunity meant equal opportunity, and that that really was the way the program ought to operate. According to this way of thinking, you advertise for persons to fill positions, you appoint the best qualified individual, regardless of any other considerations. The feeling was that bending evaluation criteria endangers the structure of the organization, sending shockwaves through the organization or institution. By adhering rigidly and religiously to equal opportunity without bending evaluation criteria, eventually the problem will be solved. In effect, it will take care of itself.

The other side indicated that there are federal regulations with certain time constraints on achieving goals, and that rather than talking in terms of equal opportunity, affirmative action means that you do something more than simply offer equal opportunity. You do something unusual, something you would not do normally, in order to attain the goals outlined in the program. You promote and hire potential, and you bend evaluation criteria whenever necessary and practical, in order to achieve the affirmative action goals. You provide lead time, a period of one or two years, for the potential to develop. The individual then moves back into a position in which he or she is evaluated on the actual execution of the job. The sooner

you get your organization set up, in terms of goals and so forth, then the sooner you are going to be able to revert to evaluation procedures which, in effect, say that the most qualified person is the person who will be promoted, with very little deviation on this approach.

This matter was discussed at great length, and I think that those two viewpoints seemed to stand out. This is not surprising, because this is a major issue of the day. Those lines of thinking can be found in practically every board of trustees and in every group of administrators. I think that all members of the group agreed that the administrator should prepare and get the policy stated clearly. The policy should be understood by all parties involved, and the administrator should follow the policies vigorously, because failure to do so will lead to a debilitating situation.

The second issue involves two questions that I have placed together, because we never really separated them. The questions are: (1) How can job descriptions be used as a basis for employee evaluation? and (2) How do you collect evidence on work performance to make the evaluation process foolproof? On one side, there was great concern about quantifying and how one really evaluates performance, particularly as it relates to the professional, and terms like professionalism, and so forth, were bandied about and then discarded eventually.

I feel that to attempt to quantify professionalism when it relates to imparting knowledge is to know the price of everything and the value of nothing.

The other point of view was that it is not possible to quantify, and that professionalism should transcend minutely detailed job descriptions. The individual should manage his or her own time, instead of having the organization attempt to do so. There was a reluctance to get involved in this aspect of measurement at least in the area of professional librarians.

The other side tended to say that job descriptions need to be concise, and that they are absolutely essential to evaluation. They need to be more than a laundry list. Job descriptions must include the criteria for evaluation, and they must be live, flexible documents. There was a distinct feeling that quantifying is not only possible to a degree, but also that a definite attempt should be made to quantify.

I think that there might have been a middle area, not really expressed very strongly, that it would possibly make sense to attempt quantification in areas of the library where it is understood easily, areas such as cataloging, circulation control, and so forth.

Other ideas expressed were that job descriptions should be reviewed regularly, and that they ought to be reviewed without reference to the individual. That may seem contradictory, because employees occasionally tend to make the job. Some will elbow the constraints of the job; others will fail to take all of the ground that is inherent in the job description, and so jobs grow and shrink according to individual effort. This is another reason why jobs should be evaluated regularly.

There was a feeling that there should be two evaluation sheets. One should be concerned with how well the employee is doing the job. The second should be concerned with the person as a person. It should deal with matters like potential. One would tend to avoid style, certainly as it relates to the performance of the job, but not when it relates to the individual, measuring the individual as a person with certain potential. As you review the job descriptions, you should make an effort to see if any significant changes have taken place within the year.

Many persons in the group hoped for more specificity in providing answers to questions about making the evaluation process foolproof and

using job descriptions as a basis for employee evaluation. We found that we were unable to be specific and provide ready answers to these questions. The failure to have consensus and the failure to have specific answers to very specific questions is, in effect, an answer in itself. In summary, we went as far as we could at this particular time. I am not sure that we would have made more progress if another hour or two had been available. Both Jesse Shera and I enjoyed working with these problems, and this report is submitted jointly. Thank you.

Group II - Leaders: Miss Ruth W. Gregory and Miss Cosette Kies

Reporter - Miss Ruth W. Gregory

Group II examined four questions which dealt with concepts of evaluation to account for productivity. We began the discussion by considering the underlying purposes of evaluation as a tool: to upgrade performance; to fulfill the basic objectives of the library; and to motivate the staff to a satisfactory level of participation in the improvement of service.

Our first question dealt with peer evaluation, and various techniques used at the University of Minnesota and other libraries served as a basis for the discussion. The major problem that emerged was that of the need for education of the staff who serve as the evaluators. In order for peer evaluation to work successfully, those who do the rating of others must demonstrate maturity at the decision-making level.

Some of the disadvantages associated with peer evaluation included:

(1) It tends to put the employee on the defensive.

(2) There is difficulty in maintaining confidentiality.

(3) Many times the library is required to use procedures that have been developed by persons who have very little knowledge of libraries. The problems created by weak directives and methods developed by external authorities were of concern to our group.

One advantage that did come out of the discussion of peer evaluation was the possibility of creating a counseling and educational process through which the person who is being evaluated can improve and advance himself with the help of the library director, the supervisor, or sometimes with the help of his peers.

At this point one of our floating experts came in, and we tossed the question of peer evaluation to the expert. Several points were emphasized

by our consultant:

(1) Peer evaluation may work when the people who do the evaluation are individuals who understand the job and what it involves.

(2) Any evaluation which separates the job potentials and job expectations will fail.

(3) The evaluation process must be related to the over-all planning process.

(4) Problems arise when peers, as evaluators, rate on the basis of criteria which are not understood by the person being evaluated.

In speaking to one of our sub-questions: "How can you get the ratee to accept the results of an evaluation?", our consultant advised that in actuality the ratee will accept an evaluation only from the person who has control of the rewards, either financial or professional or ego-building in some way.

Our consensus was that peer evaluation has limited usefulness.

The second question dealt with the writing of job descriptions, and we brought out many of the points that Mr. Curley has just mentioned in his report from Group I. The values of the job description in the hiring process, in counseling, and in education were reviewed. The problem of out-of-date job descriptions was considered and a recommendation came from our consulting expert. It was that of having a shorter term for accomplishing objectives and providing for a review at the end of a particular cycle. This should make it possible to review the entire work situation and to rewrite job descriptions to meet the needs of new services that are demanded.

The third question dealt with the criteria of evaluation relative to library work loads. It was pointed out that there are two general categories which are subject to measurement and evaluation in workloads: (1) Productivity that can be measured easily. (How many cards can you file in an hour? How

many books can be shelved in half an hour?) (2) The other category is what we labeled as the intangibles including attitudes, creativity, and relationships with people. The problems that arise from the intangibles were discussed, and one member of the group recalled the suggestions made yesterday by Dr. Coe when he discussed the critical incidents method, as a means of solving some of the problems. Patron evaluation was discussed as a valuable tool for evaluation. Self-evaluation was mentioned also, and it was suggested that the employee should set goals for himself. These goals might be related to strengths that an employee can demonstrate.

The fourth question dealt with the appraisal system and how it can be used to supply information that will reveal people unsuited for jobs that they occupy. It was observed that six or seven other questions might be included with this one. It was the consensus that the question itself was worthy of consideration in that the appraisal system offers an opportunity for the supervisor and the employee to discuss job expectations and service expectations. In the case of the under-achiever, the appraisal may help the supervisor to see the kinds of retraining programs that are needed. There was general agreement that personnel tools of all kinds including evaluation appraisals should be supported by continuing education or in-service training, and that the appraisal process must be underscored by a rekindling of vision. This rekindling of vision must come from the top management, from administrators and supervisors.

Group III - Leaders: Dr. Harold Coe and Mr. Rick Haegele

Reporter - Dr. Harold Coe

Before addressing ourselves specifically to the questions assigned to our group, there was preliminary discussion about evaluation in general. One of the points on which we agreed was that evaluation ought to be a continuous process. If an employee does something that is worthy of praise, he or she should not have to wait for six months to get a pat on the back for it. On the other hand, if he or she is doing something that needs correction, the correction should be given immediately also. When the formal evaluation interview takes place it should be somewhat of a supplement to the continuous evaluation, and it should contain no surprises. The employee really ought to know at that point quite a bit about how he or she has performed. One suggestion was that the job description might be a useful document to use during the appraisal interview. It might be worthwhile to go over the job description with the employee, pointing out the areas in which he or she has performed well and those in which he or she has not.

The first question was: What can be done to change the appraisal system which gives a six-month probation period during which an employee performs well, and after he or she has been placed on permanent status, the performance changes; he or she begins to perform poorly? I think that many of you will recognize this problem. It occurs when the probationary period is even longer than six months. The same kind of criticism comes to college professors in situations where the probationary period is seven years. Our answer to this question was that it is not necessarily the appraisal system that is at fault in this situation. Through better selection techniques and a careful checking of references, perhaps we can

cut down on this sort of thing. We recognize, however, that court decisions, affirmative action programs, and other influences are making the selection process far more difficult. The freedom of employers to select employees as they see fit is restricted in many situations.

It was felt that we need a climate within which employees understand that passing the probationary period does not mean that certain on-the-job standards do not have to be met. This may be difficult, but it is not impossible. In other words, we really need to establish the idea that simply because someone passes the probationary period, it does not mean that the employee cannot be terminated. The supervisor needs time to supervise. He or she needs time to deal with people, to help them, watch them, work with them, and not just time to shuffle the papers and do the paper work that is involved in his job.

The second question was: How can the appraisal process handle long-term employees who resist changes emerging from new work to a point where termination is indicated? The file on these old-timers indicates that the work has been satisfactory in the past. I think the thing that most of us felt might be worthwhile here would be to involve people in the process of change. If the requirements of the job change, we need to communicate very early what the employee's role is going to be. The employees should be able to make suggestions and to participate in planning changes. They need to be able to find out what impact their suggestions have. They need to be able to find out what has happened, what the plans are. When meetings are held, and everyone knows that a meeting has been held, then we need to report to employees what elements have been changed and what plans have been initiated. There should be adequate communication in all respects at all times.

Another idea expressed in this group was that a board sets the standards, and to some extent you just have to take the attitude that people are going to meet the standards; or, they will have to look for employment elsewhere. That was one of the toughest views that was thrown out at this particular stage.

The development of this problem with long-term employees should teach us something about hiring procedures for the future. The idea expressed in our group was that we should look for flexibility in employees. We should not hire a person for a specific job. Instead, we should keep in mind that we are hiring a person for several jobs over his lifetime with the employer, and that it may be necessary for that employee to do several different jobs as changes occur.

The final idea expressed in our group may be a bit controversial. I have heard opinions that differ, but in our particular group, the consensus was that the organization ought to be somewhat flexible. The old idea that you don't change the job or the organization to fit the people may not be necessarily so anymore. Perhaps we will have to change the organization so that it fits people better and I will leave you with that idea.

Group IV - Leaders: Miss Myrl Ricking and Miss Betty McKinley

Reporter - Miss Betty McKinley

Our group began with the question of how to create a favorable climate for appraisal interviews. First, the consensus was that there should be a preliminary creation of this climate before the actual performance evaluation. One part of this preliminary phase is the establishment of the good job description which sets standards. These standards are communicated to individuals when they are hired, and are reviewed continuously by the employee and the supervisor. There should be a continuing and constant process of communication through irregular and occasional discussions regarding the performance and accomplishments of the employee.

Secondly, an atmosphere of mutual trust must be established. The character of the two persons involved as well as their integrity are important factors here. In the actual performance evaluation interview, the suggestions were that there should be a comfortable neutral ground for the interview, with no desk between you and the interviewee, and that complete honesty in approach is absolutely necessary. (This, of course, has to be a part of the preliminary phase of the performance evaluation). You have to establish this at the beginning.

Do not relate the performance evaluation to personal appearance, habits, and traits. I think that we have heard this repeated constantly.

There was a sub-question: Should you keep all ratings on all employees forever? One of the staff consultants answered by saying, "Yes, it is now the law and not only must you keep the records, but you must be able to make them available to the employee at all times. The employee has a right to question any negative entries in his employment file. He may question this by writing a rebuttal which must also be entered into his file." These

statements were based on the Freedom of Information Act of 1974.

The next question was: How can the appraisal process give the needed information for selecting employees for higher positions and/or transfer to other jobs? This can be done through job descriptions, well thought out and well reviewed by the supervisor and the staff. Again, there must be constant communication in between the regular evaluation interviews. Another thing was mentioned, which I think probably many of us forget, and that is the need to update the resumés of the individuals who are on the staff, so that their acquired skills, additional courses, etc., are recorded for easy consideration, whenever opportunities for promotion or lateral transfer occur. If a person has a special skill or talent or aptitude, this should be recognized in the appraisal process and should be underscored. A sub-question that came up in regard to this was: Should we also use the evaluation form and the evaluation interview as a means to strengthen weaknesses? This suggests placing individuals in positions or using them in situations where they do not have the greatest strength, but in which they can learn and become, as one of the group members said, "interchangeable parts." Generally, the group felt that this was probably as important as reviewing their skills and their strengths for promotion and for lateral transfer.

We tackled next the question: How can evaluation systems provide the incentive for personnel development, such as taking Library Science courses? The group seemed to feel that there should be incentives, but that these should not be built in directly to a pay raise or to a final rating for a person, and then related to a pay raise. The consensus was that such things as the tangible rewards, time off or paying for courses, etc., can be used in relation to this, but they should not be tied in directly. There was

also a sub-question under that: How can you get the employee involved in the appraisal process? Again, we seemed to return to suggestions that had been made before; for example, that the employees themselves should be involved in revising job descriptions.

The last question was: How can you begin an evaluation system where it does not exist, and where possibly the administration may not think that it is necessary? How do you convince administrative superiors that this is a necessary process? Our recommendation included the following steps:

(1) Set up goals and objectives with the cooperation of the staff and the administration.

(2) Do a job analysis for the tasks that are required to achieve the goals and objectives.

(3) Prepare position (job) descriptions that are related to what the individuals are doing and expecting to achieve through these goals and objectives.

(4) Then, just keep pounding away at the administration, and let them think that it is their idea.

Later we discussed the problem of setting up goals that are measurable under management by objectives, for example, in a Reference Department. Everyone agreed that this would be very difficult, that it would require a great amount of time, and that you might feel along the way that it was an impossible task. The group felt that it was important to believe that it was possible, and that perhaps the best way to begin to set measurable goals is to: (1) Assess the service expectations of the clientele that you are serving; (2) Arrive at some overall goals for your total organization; (3) Work with individual staff members in each area to transfer the expectations of the clientele into workable goals and objectives for each of their

positions, and then develop job descriptions using these objectives. It was suggested also that an attempt should be made to quantify whenever possible and to test the results.

Group V - Leaders: Mrs. Ruth Frame and Dr. William E. Green

Reporter - Dr. William E. Green

The fi st question that our group considered was: How can an evaluation system become the basis for increasing pay for employees? The group members reworded this, so that the question became: "Under what circumstances should an evaluation system be utilized for pay increases?" The consensus was that evaluation systems should be utilized for decisions about pay increases, in situations where differentials are made in reward compensation based on significant differences in performance, and where no attempt is made to make minute differentiations among performances of various employees. This is the head/shoulders principle. Another recommendation was that there should be a concerted effort on the part of the raters to achieve objectivity in evaluating non-quantifiable factors in the performance of the employees. This does not imply that the rating will be completely objective, because since it is not dealing with measurable performance, it must deal with judgmental factors, and is consequently subjective. The idea is that the rating can be made more useful, where there is a concerted effort to train raters to strive for a degree of objectivity which will be accepted by all parties concerned.

The next question was: Can the appraisal system survive without being tied to pay increases? The response to this was that if the system is developed so that it coordinates the goals of the organization with the personal objectives of the employees, perhaps this is possible. It will be important to have the evaluation done on a continuing basis, not just once a year, and to provide for non-financial rewards, rewards that are not directly related to pay increases.

The last question was: What can be done to an evaluation system to increase board/employee relations, so that the minimum wage level can be broken? The discussion did not result in a definite answer to this question. The members reviewed the functions of the board, emphasizing the value of a good working relationship between board members and library employees. It was agreed that the functions of the board should be to establish goals and policies, to communicate these, and to provide the impetus for the conduct of all of the programs in the organization. The members of the group felt that the solution to this problem was related to the actual ability to pay more than the minimum wage, and to the perception of board members in relation to the work of library employees. The development of a sound appraisal process, along the lines of our discussions here and in the earlier sessions, was seen as a possible solution to the problem.

Group VI - Leaders: Dr. Peggy Sullivan and Mr. Barry Simon

Reporter - Mr. Barry Simon

Whenever I do this, I am always the last one, and it usually happens that we agreed with everything else that was said before. Today we have some disagreement, and I do not mind this.

Our task was to design a complete appraisal system. We did not really look at our task in the order of questions that were given, but we used the questions for general guidance, because if we designed a complete appraisal system, all of the other problems would normally be solved.

The first thing that we decided was that the first element of an appraisal system was going to be a task analysis. We were then going to prepare job descriptions. Rule Number One was that no employee would be evaluated, if that employee did not have a job description. (Of course, we used the Ricking and Booth book on Personnel Utilization to develop those job descriptions.) The descriptions, according to the system proposed by Ricking and Booth, are based on the collective goals and objectives of the library system itself.

The next step in the process is the development of standards by which to rate the individual employees. These standards are in turn related to the specific job descriptions of the individuals. We ran into a problem of differentiating between quality and quantity, just as did some of the other groups. One of the more innovative persons in our group, Dr. Mali, proposed a solution to which there were no objections. This was good. The problem was that we had no way to evaluate professional employees on the basis of quality. We knew how to evaluate them on quantity. We could count the number of reference questions answered. We could count the number of volumes cataloged. Evaluating quality was not as simple. What Dr. Mali suggested

was to look at the quality first, and then to look at the quantity. The objectives that one individual would want to accomplish in the job would be listed. These are things such as writing an article about the library for the newspaper, talking to a student group, talking to a public group about the library, all of the things that are designed to get the public into the library to use the information services. In the evaluation of the individual we would then quantify all of these areas. The more areas that are completed during the period of the evaluation, the better that individual has performed. Later we had a question about the difference between traits and objectives. The traits are what we used on the old forms, and they related to quantity. Quality, adaptability, and the objectives are different according to the MBO approach. We had no problem setting objectives for the management staff, because we are managing by objectives, but we had some difficulty working with the other staff. We decided that there were ways of measuring the traits. Instead of rating the individual's quantity as "Poor" or "Superior," we used a standard. For example: "Superior performance is going to be cataloging so many books per week." "Fair performance is going to be cataloging so many fewer books per week." Hence we were tying the objectives to the traits.

One of the members of the group raised the problem of evaluation done by people and agencies that are external to the library. This came up with the academic libraries where the staffs are being evaluated by the students and also because of faculty status issues. The staff is being evaluated by the teaching faculty in the university. The problem was: How can persons who are external to the library be in a position to evaluate individuals on the library staff? Any evaluation done by these persons must really be evaluation of the total service and not really of the individuals. The

question then came up of whether or not individual evaluation is even necessary, and the answer to that was that it depends on the type of evaluation you are doing and its purpose. If you are measuring the service of the library, it is proper to evaluate as a whole, but if you are doing an evaluation of performance for merit increases or for promotion, it is necessary to do an individual evaluation.

Other external influences were cited as problems, but we did not really get solutions for them. The system seemed to require competition among the staff members. You have so many dollars of merit money that can be allocated to so many people on the staff. Your allocation specifies that only eighty per cent of the staff can get merit increases. This creates competition. It was not clear whether this competition is good or bad or what can be done about it. Another problem is created in a situation where you are working as part of a municipality or as part of the university, and you have an evaluation form that is designed for the entire system. The library is only part of it. Our recommendation is that you should forget about all of the aspects of the evaluation form that do not apply to the library. If there are areas that are specifically related to the library that are not on the form, you should add them.

We looked next at the appropriate time to do an interview. If you are doing a negative interview, do not do it on a Friday afternoon and let the employee brood about it over the weekend. This makes it worse. Similarly, do not decide to do it on a Monday morning, and kill the whole week for the employee. We decided that Wednesday after lunch is the best time for a negative interview.

The setting for the appraisal interview, contrary to what an earlier group report said, should be formal. It should not take place over coffee

or lunch, and it should be private. It should be kept in as much of a business-like atmosphere as possible.

The interview must always end positively. You always start out positively and end positively. If you cannot end on a positive point, either you should tell the employee, or let the employee tell you, what he or she can do to improve in the negative areas. There was the decision also that there does not always have to be something negative in the appraisal. Do not look for petty things just because you feel that a totally positive interview does not work.

Our group decided that appraisals need not be done annually or on the anniversary date of the employment. The appraisal can be short term, after a project has been completed, or formally every four months or every three months. The form that the appraisal takes can either be very formal, using a standard interview form, or it can be very informal, things such as writing a memo to the employee or a memo to the higher supervisor with a copy to the employee. This enables you to get something into the personnel file. Or, even more informally, you might return something to the employee with a note written at the top that says, "Very good." These are elements that become part of the performance appraisal techniques.

The last thing that we discussed were the terms that are used to measure performance on the appraisal forms. We found that terms such as "Good" or "Satsifactory" are somewhat meaningless. People tend to rate high on the form and "Satisfactory" ends up becoming a mediocre level of performance. One solution, that we heard Dr. Coe discuss yesterday, may be behavioral anchoring. Instead of using "Satisfactory," you have some description of the level of service or the level of personality that is required for that satisfactory level, and you check off that. Thank you.

DISCUSSIONS

PRACTICAL THOUGHTS ON EVALUATION

by
Walter W. Curley, President
Gaylord Bros.

(This discussion was presented by Mr. Curley at Session I, October 24, 1975.) See also the formal paper by Mr. Curley, pp. 6-20.

I am represented on the program there as Walter Curley, and that's the fellow I am, and so I'm here.

I am a librarian who is a businessman or a businessman who happens to be a librarian, depending on where you are coming from and how you are looking at me, and I'm not exactly sure I want to know which comes first. So, with that little bit of a background, I also say that I prepared a paper, "The Library Director Evaluates the Staff." I thought perhaps you would have it before I talked, and so I am going to talk with only occasional references to the paper.

It's a fairly cynical paper. I don't think I'm usually that kind of a guy. The fact of the matter is that there are areas in this business of dealing with staff and attempting to evaluate and to make decisions properly as they relate to staff, which can give one a real attack of melancholy, if you're not careful. There will be others, I suspect, who will deal more positively with the matters at hand, and so perhaps you can view my contributions as something of a balance wheel.

One of the advantages actually of giving a talk like this is that you sharpen yourself up and you start thinking about the subject at hand. And before I left the Company to come here, I instituted a couple of things in the evaluation procedures of our Company, which I would have done sometime ago, if I had thought about them - and so I thought about them, and now they are being done.

Evaluation - well evaluation for what? I guess that's really the question that I ask myself. I am less scientifically oriented in my approach to those matters than perhaps many of the other speakers, so if there is a lack of sophistication in my approach to this matter, I hope you will bear with me. But, evaluation for what? Well, I suppose quickly you would say, "Well, evaluation is to make sure that the person in the post is performing correctly and well, and will get his or her just deserts in due process of things." Well, yes, and perhaps it is more than that. It can be rigged also to measure the effectiveness of the whole hiring policy. Yes, it measures the effectiveness of the employee.

When I say effectiveness, I tend to think in terms of efficiency, and when I think in terms of efficiency, I think in terms of jobs for which the output can be quantified. I immediately turn to some of the more clerical functions that exist in any library.

Evaluation can be used also to come up with negative responses which can be quite useful to any administrator in a variety of ways. It can also lead to the measurement of job soundness. Is the job really a job that people can do? Or, is it just simply sort of an elephant's graveyard, that you simply toss somebody into and he exists for a year, and then he's gone. And there's a lot of that.

Then there is a certain element of measuring the supervisor, because in evaluation of the employee, you work back from that to the person doing the evaluating. Some sort of a score card develops as it relates to the person doing the evaluating, at least on the line function, and strengths and weaknesses and potential are all factors in the evaluation process.

Potential, of course, is something I think of, for example, in dealing with professionals right out of library school. There is potential. The

potential is viewed on the basis of the marks and the general intelligence and appearance - and Heaven knows what else - but lots of things. And then, the question is: Will the person be able to execute? And executing is quite another matter, and in my opinion, at least, does not directly relate to the level of intelligence or the level of marks or anything else. It's a meshing of a variety of skills - a variety of background - a variety of interests - a variety of disciplines. And so, potential is there, but whether it is translated into actual fact is another matter. And potential doesn't exist forever. It comes and it goes.

In Japan and in many other countries, it is interesting to note that the records of performance maintained for personnel emphasize only the positive. They emphasize only the positive because, in effect, you can't let anybody go in Japan, and people don't leave anyway. You go to work for a company, and you stay, and you stay forever, and that's essentially the process. It is changing a bit now, but essentially that's it. This is one of the reasons why the Japanese don't use many of our evaluation techniques, because the point is, if an evaluation is turning up negatives, what can you do with it? You want to know what the strengths are, not the weaknesses. And so, if you are running a library in which you can't let people go, because of any number of other forces which are brought to bear on your decision making process, and there are many directors of libraries, perhaps out here, but certainly around the country, who automatically give people raises every year, because not to do so would raise a tremendous flap. The only people that they can let go are those who get caught stealing or going into the wrong washroom or something of this sort. And so, you deal with mediocrity on an everyday basis, and if that's the case, then evaluation for what?

Well, that's perhaps overstating it just a but, but nonetheless, I think you have to bend things to fit where you are and the environment you're living in and what you are attempting to do.

Now in my own experience, it has been practical to maintain evaluative criteria, at least for professionals, in the area of professionalism and ability to execute, the capacity to communicate, imagination, and imagination isn't always a bonus, you know. It isn't always a plus, particularly as it relates to some specific job. Nenetheless, you ought to know if a person has imagination, because in certain areas it can be a tremendous advantage.

Another criterion is good personal habits, although I realize that that's gone out with the dodo bird, but nonetheless, it impinges on the effectiveness of the individual to cope and that's important, because if you're running a library, your job is to execute, to get the job done, and to make the institution serve the people it's supposed to serve, and so therefore, you just have to deal with problems and weaknesses of individuals. It's my firm conviction that after working for a quarter of a century with people, that in order to get strength in any critical position, one must put up with weaknesses. Failure to recognize this fact has led to many, many bland appointments in our libraries. Placing in potentially dynamic positions, people who get there by virtue of having a lack of recognizable weaknesses, often brings little or no strength to the position, and so that worries me.

Every institution, at least I feel, has a life of its own. It lives whether the director lives or not, and whether the employees perform or not. It is very difficult to kill an institution, although the attempt has been made on occasion through lack of performance or for lack of budgeting or any other reason. And so it's very, very difficult. It is a living, breathing organism and it is made up of people. Policies and practices, which supposedly

are dictated from above for the good of the library or the community will not necessarily become realities, and you have to deal with that. They may be accepted or rejected or partially digested, or completely regurgitated. The head will not always be able to control the emotions of this organism, but the secret of sound administration is to know how to do just that, and it relates to evaluation as well.

I now have a lot more concern for the importance of the emotional life of a library than perhaps I once did. Writing memos and pressing buttons, and talking to people does not necessarily make the giant stand up and walk.

Now, no matter what size or type of library you're involved in, I think you are probably going to have to have an evaluation report. That starts off on a negative tone, but I think they're good to have, except that I worry about them, because I have seen maybe in 20 or 25 libraries and three or four businesses, in which I've been involved, evaluation reports, and they seldom work. They seldom work for any number of reasons, and yet failure to have them is an admission, at least at this time in life, of a lack of administrative and management skills, and it is tantamount to dereliction of duty. So you really have to start on the premise that you should have an evaluation report. And then I go a step farther and say,well you should have one, but you should try very hard to make it work. If it doesn't, well then you have other reports, which will make up for the deficiencies of the evaluation report. But somehow, if you are going to run a good, tight ship, and run a decent library that serves the people it is intended to serve, you've got to get the best out of the people on the staff, and have them feel that they are contributing as well.

I think that most of the theory calls for having talks for evaluation at regular intervals. You have them at regular intervals, and you show the

employee what you have said about him, and there is usually a signing procedure. Of course, I think evaluation should be on-going, all the time, and the problem is that it occurs once a year in a formal structure.

Now these are some of the problems that I see in every library situation: There is a sort of intimidating feature to the evaluation. What are you going to do with this report? If the supervisor says, "Well, the Chief up there, he gets this report, and because of the pressures of the day -- there's the union, there's an affirmative action program, etc." They have half a dozen other reasons zeroing in to bend the decision-making process. Then, what is he going to do with the report? And if I say that Susie, in effect, is weak here or weak there, and she refuses to accept this, and we go up to see the boss, because there's always a review procedure when the employee does not agree. Then if the boss backs out once, which he may very well do, because he doesn't want a lot of problems from this either - then what do I do? So I check, if I know: "Good", "Excellent","Good","Excellent", "Good", "Excellent", and I put it in the file. And if you know that mediocrity is going to be tolerated, that's exactly what you do, if you're a supervisor, and so you've got a problem. What I'm saying is that just having an evaluation report, and just working with it and getting it into the file once a year is not enough. There has to be the right climate within which this report is used. It has to mean something, and it has to give tangible evidence that it is going to be used, if it is to be anything more than a farce. And so, that's my personal feeling.

Now disciplinary reports are essential if an administration is going to effectively evaluate whether an employee should stay or go, and frequently these reports are used to build a case against an employee. The first thing that happens is that you are called in by the Union or the Civil Service or

the Board of Trustees, and they ask, "Have you had progressive discipline?" "Have you come to grips with the problem before?" "Is this the first time?" "Have warnings been issued?" "Have you done all of these things?"

And you say, "Well, such a file on this person, you wouldn't believe." And then you whip it out. And here's the report, negative in scope and it has been tailored to do just that, because that is the only way you are going to be able to get rid of that individual, short of some of the things that I mentioned earlier. Well, that's not an altogether wrong reason, but if that is the only reason for having the report, that's very poor indeed.

The evaluation of potential. Well, I think that it is very difficult to get a true evaluation of potential. Most of these evaluations are made on the basis of line supervisors who in themselves have some concern. I tend to think that the evaluation of potential ought not be done by the line supervisor. The supervisor ought to rate the individual on the job he or she is doing, but potential should be dealt with in a different way. Writing: "This person has potential," and putting it in the file, and looking at it three years later -- that is no good. I think the file on people who have potential for moving up has to be kept up-to-date, because people turn sour, and they turn sour quickly. This is particularly true of young library school students for any number of reasons.

In considering potential, I tend to ask four questions: (1) What has the employee done well? (I am not concerned with what he doesn't do well.) (2) What does he do well? Therefore, what else, might he or she do well? (3) What training should the employee receive to develop or utilize existing strengths? and (4) Would the administrator or supervisor or I like to work with this person?

Because I have not trusted many of the reports that I have received, I have tended to keep an additional file of my own, in my own desk and locked. Subsequent speakers are going to say, "That's pretty hard." It is. On the other hand, it is better than not having a file at all.

In filling various library vacancies, the record of potential should be studied carefully, and the person with the greatest strength that relates to the job should be given serious consideration. The job should never be tailored to the individual. And when you have the freedom, and you may not, but when you do have the freedom, I think you should always approach it on the basis of the person who is best qualified for the job. That is why I feel that it is important to have a file on strengths. There should be a file on potential, not as it relates to the job that the individual is doing, but as it relates to the individual. You rate the person on the job he or she is doing, and of course, you take that into consideration, but you have a separate file which relates to the qualities and the abilities of that individual, his potential for doing something else just as well.

It is easy enough I think to find out about the weaknesses. The supervisor tells you these. You get them occasionally in reports as long as they are the reports that do not have to be signed. It is difficult, however, to find out what a person might be able to do, over and above the job that he or she is now doing. And so I have worked, talking with supervisors, heads of personnel, and other individuals, asking for reports on this person, on that person, or some other person, trying to build a mosaic on the individual from a variety of sources.

Now job evaluation is every bit as important as personnel evaluation in all sizes and types of libraries. It should be an on-going and thorough process.

It has been my observation that where this is not the practice, jobs change their character and emphasis over the years, and in the end often become not do-able. There are jobs that are really not do-able anymore, not the way that they are constructed. Any position in which there is frequent turnover of high caliber personnel should be studied carefully, with this possibility in mind. Job descriptions have to be very, very carefully worked out, because otherwise you are hiring the wrong person for the job. You are not matching the individual and the skills that are really required.

Now one problem in the library profession,as I see it,has been that library school graduates are often offered positions that are small and limited in their scope. Their abilities are not tested and challenged as they should be, and as a result, the employee leaves, or worse, stays and becomes burned out in a relatively short period of time. I think that one of the real problems in the professions today is that there are a number of people in the thirty-to-forty-five range, who have become sour and embittered, and by virtue of geography or other constraints, cannot move. "I've had that one promotion and I am never going to get another one." And everybody is stuck, and that's too bad. This is particularly true of the young graduate.

Have you ever seen the young graduate coming out of school, getting an assignment, and going into a branch library to be asked to do this and that and so forth, semi-clerical functions, and what have you? He was all steamed up about outreach and somehow or other was not able to get to it? The whole thing just simply becomes a situation where the institution is wearing the individual down. And it's true, of course, the campus deals with theories, and therefore you expect a little of that, but what tends to happen so frequently is that people full of promise never reach that goal, because they veer off or they become embittered or they give up. I think this is very

important. One of the great problems of recruitment is not recruiting. It is simply taking care of the people you have, and then you can recruit less. Or, when people leave, they are satisfied, and you get other people, because they say, "It's a good place to work." I think that this is really a problem of the day.

One of the problems about evaluation is the fact that in a relatively small library, if you're enthusiastic, you can do it yourself. As the library gets larger in scope, then you begin to delegate these functions, and frequently you wind up delegating these functions to just such an individual as I described earlier, the person who accepted one promotion, has become burned out, and views any procedure other than the seat-of-the-pants approach as one that is scientific fol-de-rol, and is not going to work. And, of course, it isn't going to work in that climate. So a great deal of training is necessary in order to make something like this work, when you have a large library system, with entrenched staff, and you yourself are remote from the individuals who are being evaluated. You must depend on line managers to pull this off. Before you do that,you really have to have committees and work out the way to approach it. Quantify where you can, try to make sure that the various line managers are evaluating people the same way, and develop a review process, so that all of it works out reasonably well.

I start with the premise that the librarian must keep his or her eye on the ball, and the real reason for running the institution is to serve. And sometimes we lose sight of this. And so, if one is terribly concerned about one's book collection and having it in good order, without gaps, up-to-date and reflecting the interests and needs of the community, there is another

collection or resource within the library, which you ought to also use to the greatest possible degree, and that is the people that you have. Without that you are never going to get the "bang for the buck" that you hope for.

There are three statements from Machiavelli that I will just toss out here at the end: (1) "There is nothing more difficult to conduct or more uncertain of success than to take the lead in the introduction of the new order of things. (2) Where the willingness is great, the difficulties cannot be great. (3) When neither their property nor their honor is involved, the majority of men live content." This I think is quite true. The problem is that most of the problems that occur when dealing with large numbers of staff, seem to involve either one or the other or both. One staff member does not get a raise that he or she deserves, the property is involved. Another staff member does not get a promotion, honor is involved, and probably property as well. It is a very difficult problem area.

Evaluation correctly handled is a marvelous tool, but just knowing what the textbook says and making it work is something else again. I would suggest that you establish a favorable climate first. Then you work back to training the people who are going to be doing the evaluation, and then you institute the program. Otherwise, you run the risk of becoming involved in a meaningless exercise with an element of farce to it, and I do not think that any administrator wants to become involved, or can afford to become involved, in that kind of an operation. It is worth doing, but be careful how you do it. Until you have complete faith in the evaluation process, then perhaps you will do as I have done in the past. I have had my own off to the side, which I have used to check the evaluation process. This either proves that the system is not working; or, I do not know what I am talking about, and it is a little of both actually. I felt that the belt-and-suspender approach made

sense particularly as it dealt with potential, and particularly as it dealt with strengths. And until an evaluation process will do that for me, and I can be confident in it, then I will do that myself, inaccurate as it may be. In the evaluation process, I feel that for me the most important task is to determine the strengths of individuals, and to have those available so that I will be able to promote strength, rather than make decisions about promotions on a willy-nilly basis.

Later on you may wish to challenge some of this, but that's it for the moment. Thank you.

DISCUSSION: THE APPRAISAL PROCESS
by
Dr. Paul Mali

I want to summarize some of the things that we have been saying about the appraisal process. Those who do not take the systems approach in the appraisal of work performance are going to experience all kinds of problems. Those who focus on the individual and ignore the work are going to have problems. The focus must be on the work, not on the personality. The focus must be on the work and what the person is doing with the work. That is where the focus should be. Now let me see if I can pull together these things into a process. As I see it, there are four elements to the appraisal process:

Number one is the work planning. Work planning is broken down into two areas: (1) Work definition, and (2) The appraisal process or appraisal planning. The process of appraisal starts with work planning. Do not wait until all of the work is completed and then start your appraisal. You must build into the work-planning a process for appraisal of the work. You come to grips with the definition of the appraisal process, with the definition of the work.

Number two is the performance. I think that some of you have said this very nicely, "We do not wait until the end of the year to tell someone that he is not 'cutting the mustard'." If they are not 'cutting the mustard' during the year, you've got to tell them right there and then. So, there is a kind of informal appraisal process, and you do not wait until the end of the year. In the same way, if someone needs to be recognized in some way, do not wait until the end of the year. Do it then and there. Recognition can be financial and it can be non-financial.

Number three is the appraisal interview. This is a very formal period of time. The supervisor will assemble information, and he will schedule and conduct a give-and-take session. In this phase, there will be judgments made about the work of the subordinate. Note that there are two important aspects: (1) preparing for the interview, and (2) conducting the interview.

Number four is recognition or reward. Rewards are both financial and non-financial. Now that is the overall process. Let me make this point: Many groups talk about equating appraisals with pay increases. Appraisal seems to suggest that it is time to get a raise. Has it ever occurred to you that the very basic appraisal might mean the justification of the salary to begin with? This means that in management, we want to review continually. We want to ask questions such as, "Do I need this person?" "Can I justify the money I am spending?" Somehow we have developed a notion of appraisal that asks, "Do I give him a raise?" Or, "Do I not give him a raise?" We say, "He has done poorly, so I don't give him a raise." WRONG! If he or she does not do the work, if the work has been done poorly, you fire them. They go. You do not continue to pay the salary, if the work is not done or not done well. That is what it means.

We are talking about zero-based budgeting. In the planning period, we start with zero. We have nobody working for us, we have no products, no services. We have nothing. Then we begin to build the budget. This means that we want to justify your salary, your salary, and your salary. The opposite of this is what happens many times: We say, "We had this budget last year, and what we will do is build from that point." We make changes. We add increments. We assume that the budget is going to continue, and that we simply add increments. This is why groups talking about appraisals are heard to say, "I want to get a raise for my people." Or, "I want more money." I say to you that appraisal should mean that we justify what we are

spending already.

Now, let us develop some ideas about each of the areas that we have identified. Work definition is first. This is very important. The group sessions did a marvelous job in focusing on the fact that we have really got to come to grips with work definitions. So, I suggest that you make a work/task analysis, a matrix of all the jobs that you have. Do not consider jobs as shrines. Do not be afraid to restructure jobs. Change them around. The search for efficiency is one in which you are constantly seeking changes that lead to improvement. Incidentally, this is not just examining one job role or one individual. It means that you take the total task, you build a matrix. Here is the task. Now here are the people to do this task. You consider the total work to be done, and then proceed to find the selves and the roles and so forth. We are talking about job descriptions. We are talking about the work, the roles that represent the jobs. Notice that we are not talking about personnel; we are talking about the work, work definition. We are talking about job descriptions.

We have not said much about standards of performance. I think that librarians do not use them more, because they are difficult to develop in some areas of library service. I think that they would be very useful. More attention needs to be given to developing useful standards of performance.

Next, we begin to set up work expectancies or objectives. An objective is a work accomplishment expectancy. I expect to do a certain kind of thing within a specified time. And finally, as part of the work definition phase, we make plans, work plans. How am I going to do the work? If you are in an area in which the work is largely routine, then the work is fairly well defined. We need to remember that all of these considerations are necessary in order to do a good job of work definition.

We move next to appraisal planning. The first consideration is the purpose of the appraisal. What do you want the appraisal system to do for you? I have suggested some of the goals and purposes of appraisals in my paper that was distributed to you. The purposes of appraisal include: to appraise the potential, to set up conditions for achievement motivation, for feedback of organizational changes, to account for productivity, and to develop personnel for positional changes. Finally, of course, we have the tradition of the justified pay increases. Let me suggest that if you adopt half a dozen different purposes, you run into problems because there is not an appraisal system in existence that will satisfy all goals equally well. I refer you also to the paper written by Dr. Harold Coe and to the portion of my paper that considers the eclectic appraisal.

After establishing the purposes of appraisal, the next step is to develop your process, or what we will call your technique. It is the purpose that determines the method. There is no such thing as: "Use this method and you cannot go wrong." It is first, "What do I want the appraisal to do for me?" Then, "How can I accomplish this with a process or a technique?" It is at this point that we begin to consider forms. After deciding on the purposes and techniques, you proceed to design your forms. The forms should reflect the way that you plan to reach your goals. Analyze for potential problems. Consider what could go wrong. What might become a difficulty? A good method is to try an informal sampling. Get the bugs out of the system. In business, we call this marketing sampling. We are introducing a new product. We try it out in a certain area. So, after you get your appraisal process organized, try it out with one or two people, and as I have said, get the bugs out. Some libraries that are close together may want to form a consortium. If you have mutual goals, you might get together

and develop a process and try it out in one of the libraries. In this instance, one library would be used for your research model. I also suggest to you that this is the place to begin to plug in all of your affirmative action sensitivities. If you ask a question on the form, or if you take a certain approach that is against your affirmative action program, then this is where you will bring it out. (Now, if you have no affirmative action program, then you have another problem.)

We look next at the appraisal interview. The most important thing is to prepare for the interview. Another important item is validation. How valid is the information that you have in your appraisal system? Validate the information that you have. The third step in preparation is to create the climate, which means that the appraisal process is not a process in which jobs are threatened. Neither is it a process in which people are going to get pay increases. I think that you have to create the climate through an understanding of what you are trying to do. The final step, of course, is to conduct the interview. I refer you again here to the paper by Dr. Coe. He gives valuable points about good appraisal interviews, and I recommend that you use these. There are other ideas that I will mention very quickly, because our time is becoming short. One of these is the matter of selecting your style. Another is helping the person who is being interviewed to feel at ease. The last item is feedback; you should provide for follow-up. This takes place after the interview, but it is really part of the interview process. It relates to monitoring, in a way, the kinds of things upon which you and the employee have agreed.

For example, it is not enough to say, "You didn't do the job," and stop at that point. What must you go beyond that point? You must then ask, "How can we change next time, in order to do the job?" If the employee makes a suggestion you might say, "I'll help you to do this." Then you have

both agreed on how a useful change can be effected. You will still need to monitor this. Provide for a follow-up in two months or in three months. Make sure that the employee understands that the follow-up is essential. From the appraisal interview, you want to achieve a meeting of the minds between you and the employee. You should both agree on how the wrong things can be corrected, and how the right things can be continued. You should plan for a check in two or three months, or some definite period of time, to be sure this is so. Our time is up. Thank you very much.

SUMMARY STATEMENT ON FINAL SESSIONS, SUNDAY, OCTOBER 26, 1975

Holiday Inn, Charleston, Illinois

The format for the Sunday morning program was changed from that which had been announced on the printed program. Plans for a role-playing experience, involving all participants and developed by Mr. Thomas Brown and Miss Mary D. Quint, were announced as a substitute presentation. This activity gave the participants an opportunity to experiment, without the assistance of the Institute Staff, with the tasks of developing job descriptions and standards for measuring performance for three positions:

(1) A Reference Librarian,

(2) A Circulation Clerk, and

(3) A Head Librarian.

The context of the library, a public library serving an academic community, was outlined by Miss Quint.

The participants were organized so that they would assume roles that represented three different perspectives or points of view:

(1) Trustees,

(2) Administrative Librarians, and

(3) Line Librarians.

Members of the Institute Staff met in a separate location for a final review and assessment of the activities of the previous sessions.

After a period of approximately thirty minutes, the Institute participants and staff reassembled for the final series of reports. These reports presented the views of Trustees, Administrative Librarians, and Line Librarians on the job descriptions and standards for measuring performance for the three positions listed above.

The role-playing groups approached their work seriously, and the reports were lively, reflecting the consideration that the group members gave to this joint-attempt to experiment with the writing of job descriptions for a hypothetical situation. The reports were not intended to be definitive statements or models for future planning in individual libraries. For this reason, the complete transcript of the reports is not included here. A copy of the complete transcript will be given to the Planning Committee for the follow-up Conference that will be held in 1977.

The role-playing exercise provided an opportunity for all persons to share in decision-making relating to performance evaluation, in a neutral setting, before returning to their own organizations to begin to work on the second objective of the 1975 Personnel Evaluation Institute - implementing plans for an appraisal process to be carried out in their individual work situations.

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APPENDIX I

PROGRAM OF THE PERSONNEL EVALUATION INSTITUTE
October 24-26, 1975

OFFICE OF THE SECRETARY OF STATE
SPRINGFIELD, ILLINOIS 62756

MICHAEL J. HOWLETT
SECRETARY OF STATE

October 20, 1975

Miss Frances Pollard
Professor of Library Science
Booth Library - Eastern Illinois University
Charleston, Illinois 61920

Dear Miss Pollard:

It is my pleasure to extend greetings to you and to those who are attending the Personnel Evaluation Institute at Eastern Illinois University.

In the circumstances in which most libraries operate in these days of financial difficulties, it is more than ever important that the personnel in libraries contribute to the total mission of the library to the very best of their ability. An institute such as you have planned should go a long way toward assuring that each person in the library has meaningful objectives designed to move the library forward, and that the evaluation of each employee contributes to the goal of the institution.

I wish you and the institute participants the greatest success both during your meeting at Charleston and in your future applications of the techniques you explore.

Sincerely,

Michael J. Howlett
Secretary of State

MICHAEL J. HOWLETT
SECRETARY OF STATE
AND
STATE LIBRARIAN

OFFICE OF THE SECRETARY OF STATE
ILLINOIS STATE LIBRARY
SPRINGFIELD, ILLINOIS 62756

October 17, 1975

Miss Frances Pollard
Professor of Library Science
Booth Library - Eastern Illinois University
Charleston, Illinois 61920

Dear Frances:

I regret that because of a previous commitment I will not be able to attend the Personnel Evaluation Institute at Eastern Illinois University. I especially regret that I can't be there because I am very much aware of the importance of the subject, and how much this management function contributes to an efficient organization.

I would like to extend my good wishes to you and the participants at the institute both for the institute itself and for the days ahead when the principles of the institute are applied in libraries throughout the state.

Sincerely,

Kathryn J. Gesterfield
Director

KJG/dw

EASTERN ILLINOIS UNIVERSITY

CHARLESTON, ILLINOIS 61920

Office of the President *Telephone 581 2011*

All of us at Eastern Illinois University are pleased to welcome you as participants in this Personnel Evaluation Institute. The theme, "Professional Growth Through Evaluation" is an excellent one. As professionals, we should all be concerned about improving our professional performance, as well as assisting those who work with us.

I hope you have a rewarding institute. Please enjoy our campus facilities while you are here. Again, welcome.

Cordially,

Gilbert C. Fite

Gilbert C. Fite
President

c

PERSONNEL EVALUATION INSTITUTE
Sponsored by
The Illinois State Library
&
Eastern Illinois University
Department of Library Science
October 24-26, 1975

PROGRAM

THURSDAY, OCTOBER 23, 1975
8:00 - 10:00 P.M.
Institute Staff Meeting ..... Charleston Holiday Inn

FRIDAY, OCTOBER 24, 1975
10:00 A.M. - 10:45 A.M.
Institute Staff Meeting ..... EIU Union, PARIS ROOM (3rd. floor)

10:45 A.M. - 12:30 P.M.
Registration ..... EIU Union, ALUMNI LOUNGE (2nd. floor)

Note: For those who complete registration early, we recommend a stroll on the campus. We hope that the weather will be favorable. The walk leading North from the Union will take you to "Old Main." In the Sargent Art Gallery, on the first floor there, you can enjoy the exhibit of the work of the Art Department Faculty.)

12:30 P.M. ..... EIU Union Ballroom (2nd. floor)
Lunch EIU Union (3rd. floor)

1:30 - 3:30 P.M. ..... SESSION I ..... Charleston/Mattoon Rooms
SESSION I - "The Big Picture;" introduction of the basic ideas relating to personnel evaluation, in brief conceptual presentations.

Opening Remarks - Miss Mary D. Quint, Senior Consultant
Library Manpower Utilization, Illinois State Library

- Dr. Frances M. Pollard, Chairman
Department of Library Science, Eastern Illinois University

"Fundamentals of Management" - Dr. William E. Green, Chairman
Department of Management and Marketing
Eastern Illinois University

"The Library Director Evaluates the Staff" - Mr. Walter W. Curley, President
Gaylord Bros., Inc.
Syracuse, New York

Intermission (Fifteen minute break. Please reassemble promptly for the continuation of Session I.)

PROGRAM (continued)

"The Human Element in Organization" - Miss Myrl Ricking,
Employment Supervisor
The Urban Institute, Washington, D.C.

"Employee Evaluation, Some Problems and Techniques" - Dr. Harold Coe
Professor of Psychology
Eastern Illinois University

Simulation Demonstrations - - - - Dr. William E. Green, Chairman
Department of Management and Marketing, Eastern Illinois University

3:30 P.M.
COFFEE BREAK ..... EIU Union, ALUMNI LOUNGE (2nd floor)

(Please reassemble in the Charleston/Mattoon Rooms at 3:50 P.M.)

3:50 P.M.
SESSION I (continued) - "Developing and Using a Personnel Evaluation System" - Dr. Paul Mali
Professor of Management
Graduate School of Business
University of Hartford
West Hartford, Connecticut

(Note: Copies of the papers listed above will be distributed to all participants at the end of SESSION I.)

& Senior Consultant, Paul Mali & Associates, Groton Shoppers Mart
Groton, Connecticut

Introduction of Consultants and Discussion Leaders - Miss Myrl Ricking
Employment Supervisor
The Urban Institute
Washington, D. C.

Announcements - Dr. Paul Mali

Organization Plan for First Session of Small Group Discussions:

Consultants and Discussion Leaders	Locations
Dr. Jesse H. Shera & Mr. Walter W. Curley	- Effingham Room
Miss Ruth Gregory and Mrs. Ruth Frame	- Casey Room
Dr. William E. Green and Miss Myrl Ricking	- Greenup Room
Miss Cosette N. Kies and Dr. Harold Coe	- Ashmore Room
Mr. Rick Haegele, Dr. Peggy Sullivan, and Miss Alice E. McKinley	- Kansas Room

Coordinators for Small Group Discussions - Dr. Paul Mali & Mr. Tom Brown

5:15 Intermission (fifteen minute break). Please prepare for the Reception and Dinner, beginning at 5:30 P.M. Directions are given on page three.)

PROGRAM (continued)

5:30-7:30 P.M. ..... EIU Union, FOX RIDGE ROOM (First floor)
RECEPTION AND DINNER

Please Note: There is one entrance point for the Reception and Dinner, and Institute badges must be shown to the cashier. Please enter through the lower-level-East door of the Union, proceed through the buffet service line, and go over to the Fox Ridge Room, which is in the extreme Southwest corner of the University Union.

Musical Interlude - Mr. John E. Price
Department of Music
Eastern Illinois University

END OF SESSION I.

9:00 - 10:00 P.M.
Institute Staff Meeting ..... Charleston Holiday Inn

SATURDAY, OCTOBER 25, 1975

9:00 A.M. ..... SESSION II ..... Charleston/Mattoon Rooms

Coordinator - Dr. Paul Mali
Consultants - Miss Ruth Gregory, Dr. William E. Green, Mrs. Ruth Frame, Miss Myrl Ricking, Dr. Peggy Sullivan, Miss Cosette N. Kies, Dr. Harold Coe, Mr. Rick Haegele, Mr. Thomas Brown, Miss Alice E. McKinley, Mr. Walter W. Curley, Dr. Jesse H. Shera

Reports; Announcements of group discussions; Individual Conferences; Workshops; Clinics.

10:30 A.M.
COFFEE ..... EIU Union, ALUMNI LOUNGE

11:00 - 12:00 Noon - Continuation of Workshops, Clinics, and Individual Conferences.

12:00 Noon - LUNCH.....EIU Union, FOX RIDGE ROOM

1:15 - 2:00 ..... SESSION III..... Charleston/Mattoon Rooms
SESSION III

Coordinator - Dr. Paul Mali
Announcements - Mr. Thomas Brown

2:00 - 3:30 Continuation of Work on Problems and Concerns - Institute Staff and Participants

END OF SESSION III.

PROGRAM (continued)

5:30 P.M. .....SESSION IV..... Charleston Holiday Inn
Refreshments (Reasor Rooms 2 & 3)

Dinner (Served at 6:30 P.M.)

Program - Opening Remarks - Dr. Frances M. Pollard

Introduction of Speaker - Dr. Peter R. Moody, Provost and Vice President for Academic Affairs, Eastern Illinois University

Guest Speaker - Dr. Richard I. Miller
Associate Director for Academic Affairs
Illinois Board of Higher Education

END OF SESSION IV.

SUNDAY, OCTOBER 26, 1975

8:00 A.M. - 9:00 A.M.
CONTINENTAL BREAKFAST ..... Charleston Holiday Inn

SESSION V

9:00 A.M. - 10:45 A.M. ..... Charleston Holiday Inn
SESSION V

Coordinators - Miss Mary D. Quint & Mr. Thomas Brown & Dr. Harold Coe.

Presentations by Institute Staff:

"The Effect of Personality Problems on the Performance of Employees"

"Are You Fit to Be an Evaluator?"

"The Effect of the Administrative Structure on Employee Performance"

10:45 A.M.
Intermission.

11:00 A.M. - 12:00 Noon ..... SESSION VI .....
SESSION VI

Coordinators - Mr. Thomas Brown & Dr. William E. Green.

Presentations by Institute Staff:

Summaries
Tentative assessments of work accomplished
Analysis of needs for the future.

12:00 Noon
LUNCH .....Special Sunday Buffet ..... Holiday Inn

ADJOURNMENT (following lunch).

APPENDIX II

LIST OF PARTICIPANTS--PERSONNEL EVALUATION INSTITUTE
October 24-26, 1975

ROSTER OF PARTICIPANTS

Elaine M. Albright
University of Illinois Library
Champaign-Urbana, IL

Herbert Biblo
The John Crerar Library
Chicago, IL

Ruth Birkhead
William Rainey Harper College
Palatine, IL

Frances Bradbury
Northbrook Public Library
Northbrook, IL

Lee Brooke
Chicago College of Osteopathic Medicine Libraries
Chicago, IL

Ida A. Bullen
DuPage Library System
Geneva, IL

Fred Byergo
Cook Memorial Public Library District
Libertyville, IL

Clarence S. Carter
Wilson Library
University of Minnesota
Minneapolis, Minnesota

Anne L. Chandler
Kankakee Public Library
Kankakee, IL

Margaret A. Chaplan
Institute of Labor and Industrial Relations
University of Illinois
Champaign-Urbana, IL

Raymond G. Chisholm
Chicago Public Library System
Chicago, IL

Mary Clarke
DuPage Library System
Geneva, IL

Sheryl Clayton
East St. Louis Public Library
East St. Louis, IL

Dorothy C. Coffman
Southern Illinois University
School of Medicine
Springfield, IL

Ray Cole
Morris Library
Southern Illinois University
Carbondale, IL

Joanne Crispen
Lutheran General Hospital Library
Park Ridge, IL

Nettie Davenport
Rolling Prairie Library System
Decatur, IL

Marlene Deuel
Poplar Creek Library District
Streamwood, IL

Robert A. DeYoung
Wilson Library
University of Minnesota
Minneapolis, Minnesota

Paul DiMauro
Evanston Public Library
Evanston, IL

Madie Dowell
East St. Louis Public Library
East St. Louis, IL

Ron Easton
Peoria Heights Public Library
Peoria Heights, IL

Dorothy Fuehring
Mackinaw Township Library
Mackinaw, IL

Margareth Gibbs
Starved Rock Library System
Ottawa, IL

Christine Gilson
Lincoln Public Library
Lincoln, IL

Preston Gilson
McKinstry Library
Lincoln College
Lincoln, IL

Karen Gray
Great River Library System
Quincy, IL

George P. Grove
Lewis and Clark Library System
Edwardsville, IL

Joe Harris
Cumberland Trail Library System
Flora, IL

Patricia M. Hogan
North Suburban Library System
Wheeling, IL

Joyce C. Horney
Illinois State Library
Springfield, IL

Mary T. Howe
Starved Rock Library System
Ottawa, IL

Bernice L. Hulsizer
Physics Library
University of Illinois
Champaign-Urbana, IL

Mary D. Huntley
Hayner Public Library
Alton, IL

Sue Jackson
Alpha Park Public Library District
Bartonville, IL

Paul V. Johnson
Rolling Prairie Libraries
Decatur, IL

James R. Johnston
Country Club Hills--Hazel Crest Public Library District
Country Club Hills, IL

Adrian Jones
Roosevelt University Library
Chicago, IL

Stephen A. Kershner
Hayner Public Library District
Alton, IL

Karen Krueger
Illinois Valley Library System
Peoria, IL

Elvera Lake
Waukegan Public Library
Waukegan, IL

Douglas Lay
Lincoln Trail Library System
Champaign, IL

Ruth Lengelsen
Mount Carmel Public Library
Mount Carmel, IL

Jo E. Lentz
Bur Oak Library System
Joliet, IL

C. L. Lightsey
Lewis and Clark Library System
Edwardsville, IL

Lucile Macleod
Lewis and Clark Library System
Edwardsville, IL

J. Louise Malcomb
Indiana University Libraries
Bloomington, Indiana

Janis E. Marley
Chicago Public Library
Woodson Regional Library Center
Chicago, IL

Henry R. Meisels
Corn Belt Library System
Bloomington, IL

Beverly B. Miller
Department of Library Science
Eastern Illinois University
Charleston, IL

Linda K. Miller
Steger-South Chicago Heights
Public Library District
South Chicago Heights, IL

Thomas L. Moore
Danville Public Library
Danville, IL

Dorothea D. Newport
Illinois Valley Library System
Peoria, IL

Joseph Pacholik
Starved Rock Library System
Ottawa, IL

Emma Pirtle
Alpha Park Public Library
Bartonville, IL

Carla J. Pluff
Kaskasia Library System
Smithton, IL

Jerome Podesva
Lewis and Clark Library System
Edwardsville, IL

Marilyn Salazar
American Library Association
Chicago, IL

Nancy Sue Schell
Cumberland Trail Library System
Flora, IL

William H. Schell
Bensenville Community Public
Library
Bensenville, IL

Richard Schneider
Evans Public Library
Vandalia, IL

Eleanor Seminara
Niagara County Community College
Sanborn, New York

Barry Simon
American Library Association
Chicago, IL

Rita I. Simon
Lewis and Clark Library System
Edwardsville, IL

Ross Stephen
William Rainey Harper College
Palatine, IL

Andrew Stimson
Illinois State Library
Springfield, IL

Leonard Swift
Oak Lawn Public Library
Oak Lawn, IL

Ray Tevis
Granite City Public Library
Granite City, IL

Alex Todd
Fountaindale Public Library District
Bolingbrook, IL

Peter Vander Haeghen
William Rainey Harper College
Palatine, IL

Frank Van Zanten
Illinois State Library
Springfield, IL

Linda Vardiman
East St. Louis Public Library
East St. Louis, IL

Carl Volkmann
Lincoln Library
Springfield, IL

Stephen Von Vogt
Lincoln Trail Library System
Champaign, IL

Richard E. Wallace
Manager, Information Services
Archer Daniels Midland
Company Research Department
Decatur, IL

Robert Wegman
Normal Public Library
Normal, IL

James Whitehead
Western Illinois Library System
Monmouth, IL

Emily Wilson
Silvis Public Library
Silvis, IL

APPENDIX III

AETNA LIFE & CASUALTY COMPANY PERFORMANCE APPRAISAL FORMS

151 Farmington Avenue
Hartford, Connecticut 06115

Robert C. Quinn
Manager
Organization Development, Personnel

November 20, 1975

Frances M. Pollard, Chairman
Department of Library Science
Eastern Illinois University
Charleston, Illinois 61920

Dear Dr. Pollard:

Your request for 150 copies of our booklet entitled A Managers Guide to Performance Planning, Appraisal and Development arrived about one week too late.

I developed this booklet in 1973 to accompany our announcement of a new Company-wide performance appraisal process. During the past two years, I have audited the effectiveness of our forms and procedures and earlier this month, we made some improvements based on suggestions from line managers.

I am enclosing a copy of my announcement letter to our management with the accompanying new forms. I have also enclosed the section of our new Personnel Policies and Programs manual which replaces the booklet you requested. Our stock of the booklet has been depleted, therefore, I can only send 10 copies.

Since none of this material is copyrighted, you may feel free to reproduce any, or all, of these documents.

I was very pleased to hear that our appraisal program was well received at your conference. Our managers have been very positive about it from the start.

Sincerely yours,

R. C. Quinn

RCQ/vlh

enclosures

Aetna Life Insurance Company, The Aetna Casualty and Surety Company/The Standard Fire Insurance Company

Ætna LIFE & CASUALTY

INTEROFFICE COMMUNICATION

TO Officers and Department Heads

FROM Robert C. Quinn, Manager, Organization Development, Personnel

DATE November 5, 1975

SUBJECT RESULTS PLANNING AND PERFORMANCE APPRAISAL

When the Company-wide performance appraisal process was introduced in 1973, senior management asked the Personnel Department to audit the effectiveness of the forms and procedures and recommend changes as necessary.

We drafted changes to the performance appraisal forms in July to accommodate improvements suggested by many managers and other employees over the past two years. The forms were sent to about fifty managers for their review. We then made further modifications based on discussions with those managers.

Copies of the new forms are attached. Significant improvements include the elimination of the Results Planning Guide as a separate form. Results expected will now be stated on Part I of the appraisal form. This combined results plan and report of results achieved should be used for all managers and employees.

Part II of the appraisal is performance factors and development plans. The number of factors for evaluating managers has been reduced from 26 to 14. A similar form with ten factors should be used when evaluating all non-management employees. There may be circumstances when the non-management employee form is more appropriate for a supervisor who has limited management responsibilities.

An unsatisfactory column has been added to the forms to make it easier for managers to distinguish between failing performance and performance which is acceptable but needs improvement to strengthen present effectiveness or future growth (Development Need). Two Performance Factors Supplements have also been developed to provide managers with additional definitions of strengths, development needs and unsatisfactory performance. Their use will be left to the discretion of each rating manager.

(8683-K) 3-68

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Guidelines which outline key steps in the appraisal process and instructions on how to complete the forms will be published this Friday as part of the new Personnel Policies and Programs manual.

Copies of the new forms can be ordered through regular supply channels. The supply of old forms has been exhausted. Please destroy any of the old forms in your files. The new forms should be used for 1976 individual results planning and for any appraisals completed after today.

Robert C Quinn

RCQ/vlh

Aetna
LIFE & CASUALTY

PERFORMANCE APPRAISAL SUMMARY

PART I - RESULTS PLAN AND RESULTS ACHIEVED

NAME	POSITION TITLE	CLASS	APPRAISAL PERIOD Beginning / Ending
DEPARTMENT / DIVISION	LOCATION		TIME IN POSITION

RESULT EXPECTED-*Write clear, concise statements of the principal results expected for major objectives and position description responsibilities. Where possible, include specific measurement criteria-quantity, quality, time and money (profit or expense). Indicate how progress will be measured toward achieving each result. When the results expected cannot be measured quantitatively, indicate what quality standards or judgmental factors will be used to evaluate performance. Indicate the relative importance (priority) of each result expected. Make changes throughout the year as conditions change.*

RESULT ACHIEVED-*As objectives are completed or at the end of the appraisal period, comment on the degree and quality of attainment and any extenuating circumstances affecting results.*

1. RESULT EXPECTED / MEASUREMENT CRITERIA — PRIORITY

RESULT ACHIEVED

2. RESULT EXPECTED / MEASUREMENT CRITERIA — PRIORITY

RESULT ACHIEVED

3. RESULT EXPECTED / MEASUREMENT CRITERIA — PRIORITY

RESULT ACHIEVED

HAA-2384) 2-75

CAT. 401269
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4. RESULT EXPECTED / MEASUREMENT CRITERIA | PRIORITY

RESULT ACHIEVED

5. RESULT EXPECTED / MEASUREMENT CRITERIA | PRIORITY

RESULT ACHIEVED

OTHER - If appropriate, list abbreviated statements of lower priority objectives or results expected in other responsibilities. Add unplanned assignments as they occur or at the end of the appraisal period.

Aetna
LIFE & CASUALTY

PERFORMANCE APPRAISAL SUMMARY – NON-SUPERVISORY EMPLOYEES

PART II - PERFORMANCE FACTORS AND DEVELOPMENT PLAN

*For each of the performance factors listed below indicate (√) the effectiveness with which they were applied in achieving the results. Include specific examples of observed behavior for each block checked as Strength, Development Need, or Unsatisfactory. In some circumstances, it may be appropriate to check more than one block for a factor. Explain your reasons in the examples column. The Performance Factors Supplement (AA-2662) provides additional criteria for defining Strengths, Development Needs and Unsatisfactory conditions for each of the factors. When evaluating each factor apply the following broad definitions: **Strength** - Little room for improvement; positive impact on results. **Satisfactory** - Consistently meets expectations or requirements. **Development Need** - Some room for improvement to increase present effectiveness; growth will strengthen ability to handle increased responsibilities. **Unsatisfactory** - Considerable room for improvement; negative impact on results. **Not Applicable** - Cannot be observed in present position, is not considered important to the work performed.*

PERFORMANCE FACTORS	STRENGTH	SATISFACTORY	DEVELOPMENT NEED	UNSATISFACTORY	NOT APPLICABLE	EXAMPLES
1. Production-Consistently produces a greater than expected volume of work; willingly goes beyond normal production requirements.						
2. Thoroughness/Accuracy-Sets high standards and consistently achieves high quality results; concerned with getting the job done right.						
3. Independent Action-Exercises initiative in starting and following through on assigned work; does not require close supervision.						
4. Work Methods-Personally well-organized; uses time efficiently; sets and meets realistic target dates.						
5. Problem Solving-Acts promptly on own initiative when confronted with a problem and solves without supervisory assistance.						
6. Interpersonal Effectiveness-Keeping others informed; presenting ideas clearly; maintaining favorable relations with others in or outside the department/office.						
7. Job Knowledge-Proficient in methods or skills required to perform own work and knowledge required of related operations.						
8. Work Habits-Attendance, personal phone calls or discussions with co-workers are not interfering with job effectiveness.						
9. Cost Consciousness-Sensitive to the need to eliminate non-essential activities; suggests cost-saving measures.						
10. Self Motivation-Sustains a high drive level and interest in work; builds on strengths and works on deficiencies.						
11.						
12.						
13.						
14.						

(AA-2659)

CAT. 401242
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STRENGTHS AND DEVELOPMENT NEEDS - Summarize the most significant performance-oriented strengths and development needs which the employee has shown during the past appraisal period.

DEVELOPMENT PLAN - Indicate your plans for development of the employee in the next appraisal period. Relate these plans to the strengths and development needs cited above, indicating specific experiences, exposures and training.

GROWTH AND POTENTIAL SUMMARY - Indicate growth potential in the employee's present position or potential for assuming increased responsibility beyond this position. Include comments on the employee's expressed career interests and goals.

EMPLOYEE COMMENTS - The individual being appraised may comment below on any areas of agreement or disagreement concerning the appraisal or development plan. Any additional comments made by the manager completing the form should be discussed with the individual before the form is signed.

I have reviewed the appraisal and discussed the contents with my immediate manager. My signature means that I have been advised of my performance status and does not necessarily imply that I agree with this evaluation.

_____ SIGNATURE

_____ DATE

APPRAISED BY	DATE
REVIEWED BY	DATE

Aetna
LIFE & CASUALTY

PERFORMANCE APPRAISAL SUMMARY – MANAGEMENT AND SUPERVISORY EMPLOYEES

PART II - PERFORMANCE FACTORS AND DEVELOPMENT PLAN

*For each of the performance factors listed below indicate (✓) the effectiveness with which they were applied in achieving the results. Include specific examples of observed behavior for each block checked as Strength, Development Need, or Unsatisfactory. In some circumstances, it may be appropriate to check more than one block for a factor. Explain your reasons in the example column. The Performance Factors Supplement (AA-2661) provides additional criteria for defining Strengths, Development Needs and Unsatisfactory conditions for each of the factors. When evaluating each factor apply the following broad definitions: **Strength**-Little room for improvement; positive impact on results. **Satisfactory**-Consistently meets expectations or requirements. **Development Need**-Some room for improvement to increase present effectiveness; growth will strengthen ability to handle increased responsibilities. **Unsatisfactory**-Considerable room for improvement; negative impact on results. **Not Applicable**-Cannot be observed in present position; is not considered important to the work performed.*

PERFORMANCE FACTORS	STRENGTH	SATISFACTORY	DEVELOPMENT NEED	UNSATISFACTORY	NOT APPLICABLE	EXAMPLES
MANAGEMENT QUALITIES						
1. Planning-Bases plans on a thorough analysis of relevant facts; costs and benefits are justified; sets realistic goals and schedules.						
2. Controlling-Developing performance or quality control standards, measuring results, taking corrective actions and resolving performance problems.						
3. Organizing-Arrangement of work for the most efficient handling and elimination or unnecessary activites operating efficiency, optimum staffing.						
4. Directing/ Leadership-Setting challenging goals, delegating, coordinating and promoting innovation in achieving goals.						
5. Developing Subordinates-Evaluating others strengths and weaknesses; preparation and implementation of development plans; developing competent people.						
6. Expense Management-Operating efficiently near lowest possible cost; staying within budget.						
7. Equal Opportunity-Achieving planned staffing for minorities and women.						
PERSONAL QUALITIES						
8. Problem Analysis, Decision Making-Comprehensive in analyzing problems, makes timely and practical decisions.						
9. Self Management-Personally well-organized; utilizes time effectively, independent action.						
10. Interpersonal Effectiveness-Keeping others informed, effectively presenting ideas; handling conflict.						
11. Written Communications-Clear and orderly; reducing complex issues to simple terms; sensitivity to audience levels.						
12. Job Knowledge-High level of proficiency with methods, techniques and skills required in own area or related functions.						
13. Adaptability to Change-The ability to react to and compensate for necessary changes in operations; not wed to old methods when they are no longer practical.						
14. Self Motivation-Drive to succeed; stretches personal resources; builds on strengths and works on deficiencies.						
15.						

STRENGTHS AND DEVELOPMENT NEEDS - Summarize the most significant performance-oriented strengths and development needs demonstrated during the past appr. isal period.

DEVELOPMENT PLAN - List the plans for development of this individual in the next appraisal period. Relate these plans to the strengths and development needs cited above, indicating specific experiences, exposures and training.

GROWTH AND POTENTIAL SUMMARY - Comment on the opportunities for growth in the individual's present position or potential for assuming increased responsibility beyond this position. Include comments on expressed career interests and goals.

COMMENTS - The individual being appraised may comment below on any areas of agreement or disagreement concerning the appraisal or development plan. Any additional comments made by the manager completing the form should be discussed with the individual before the form is signed.

I have reviewed the appraisal and discussed the contents with my immediate manager. My signature means that I have been advised of my performance status and does not necessarily imply that I agree with this evaluation.

_____ Signature

_____ Date

APPRAISED BY	DATE
REVIEWED BY	DATE

PERFORMANCE FACTORS SUPPLEMENT — MANAGEMENT & SUPERVISORY EMPLOYEES

This supplement provides suggested criteria for defining strengths, development needs and unsatisfactory performance for each of the factors on the Performance Appraisal Summary form for management and supervisory employees. The examples under each definition describe certain actions, or behaviors, which can be observed by a manager in day-to-day work relationships. Each definition should be treated as a point of reference only — managers are encouraged to consider other behavioral examples which could apply to the factors. When evaluating any of the factors on the form, apply the following broad definitions:

STRENGTH	Little room for improvement; positive impact on results.
SATISFACTORY	Consistently meets expectations or requirements.
DEVELOPMENT NEED	Some room for improvement to increase present effectiveness; growth will strengthen ability to handle increased responsibilities.
UNSATISFACTORY	Considerable room for improvement; negative impact on results.
NOT APPLICABLE	Cannot be observed in present position; is not considered important to the work performed.

1. Planning

STRENGTH	Bases plans on a thorough analysis of relevant facts and situations; the costs and benefits associated with proposed actions are justified in the plan; sets realistic goals and schedules; plans are consistent with economic conditions and the organization's objectives (long- and short-range); gains commitments of those affected during the planning process; adjusts plan and priorities as conditions and demands change throughout the year.
DEVELOPMENT NEED	Bases plans mostly on past performance or trends and does not give enough consideration to future conditions or forecasts; has tendency to over- or under-estimate commitments and/or schedules; costs don't always justify planned actions; sometimes excludes affected parties from planning discussions.
UNSATISFACTORY	Doesn't plan or disregards planning principles; jumps into work without regard for result wanted or how to get it; plans frequently prove to be unrealistic and require substantial change; fails to gain commitments from affected parties.

2. Controlling

STRENGTH	Sets high standards and achieves high quality results through periodic follow-up with subordinates; initiates prompt, corrective actions when goals aren't being achieved or conditions change; subordinates understand individual responsibilities and results expected; resolves individual performance problems in a fair, firm, and timely manner.
DEVELOPMENT NEED	Some tolerance for letting quality standards slip; tends to wait until work is almost complete before checking on progress, resulting in last minute changes or some key missed target dates; individual performance problems sometimes have to be pointed out before corrective actions are taken.
UNSATISFACTORY	Standards are too low as evidenced by borderline results, missed deadlines or both; fails to see when plans are off-track and doesn't correct without direction; does not resolve individual performance problems.

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3. Organizing

STRENGTH	Arranges organization units and work for the most efficient handling and elimination of unnecessary activities; responsibility for results is clearly defined; effectively integrates efforts of work groups to achieve common goals; optimum staffing for results achieved.
DEVELOPMENT NEED	Some restructuring of work units or systems changes would result in more efficient processing of work; needs to improve coordination between work units; needs to eliminate some duplication of effort.
UNSATISFACTORY	Department or office operates inefficiently; too many bottlenecks result from poor organization or unattended systems problems; responsibility for results is unclear; fails to integrate efforts of work groups; overstaffed.

4. Directing/Leadership

STRENGTH	Provides leadership examples for others to follow; sets challenging goals with subordinates; delegates effectively and coordinates many diverse work activities simultaneously; functions effectively without close supervision; sets the pace.
DEVELOPMENT NEED	Maintains too low profile; delegates too much or too little; has some difficulty adjusting when many different work pressures are applied at the same time; needs to take more risks — a little too cautious; needs to take fewer risks — over extended in too many directions.
UNSATISFACTORY	Fails to set challenging goals; involved too heavily in day-to-day work and appears to be unaware of work or people problems; needs close supervision; management techniques are not getting the desired results.

5. Developing Subordinates

STRENGTH	Exercises good judgment when evaluating subordinates' performance strengths and weaknesses; skilled in providing constructive feedback; helps subordinates prepare personal growth objectives and follows through in such ways as considering development needs when making work assignments; development plans are implemented; encourages and supports individual initiative and achievement; good track record of developing competent people for the organization.
DEVELOPMENT NEED	Tendency to over or underestimate subordinates' abilities; needs to establish more challenging personal growth objectives with subordinates; doesn't always follow through on development plans; should delegate authority further down into the organization to encourage more individual initiative; needs to prepare more people for positions in other areas of the organization.
UNSATISFACTORY	Doesn't have development plans or seek development opportunities for subordinates; management practices are stifling individual initiative and achievement; feedback is not seen as helpful or constructive by subordinates; poor track record of moving employees within or outside own area.

6. Expense Management

STRENGTH	Operating efficiently near lowest possible cost; does not make monetary decisions at the expense of short- or long-term business objectives; stays within budget and/or contributes to the Company's profitability; takes innovative approaches to reducing expenses or implementing money-making ideas.
DEVELOPMENT NEED	Could do a better job of reducing expenses; makes monetary decisions which sometimes sacrifice short- or long-term business objectives; exceeded budget by slightly more than an acceptable level; should reduce spending in some activities.
UNSATISFACTORY	Fails to stay within budget; operating costs are too high; makes monetary decisions which are way out of line with economic conditions; is not getting adequate results from money spent.

7. Equal Opportunity

STRENGTH	Actively seeks minorities and women; achieves or exceeds planned staffing goals; creates sound development plans and has good working relationships with minority and female subordinates; no complaints from employees about unfair practices.
DEVELOPMENT NEED	Not aggressive or innovative in achieving minority and female staffing goals, minorities and females concentrated in lower class levels; needs to develop and begin to move them up in the organization.
UNSATISFACTORY	Poor representation of minorities and females; high turnover among minority and female employees; too many complaints about unfair practices.

8. Problem Analysis/Decision Making

STRENGTH	Acts promptly on own initiative when confronted with a problem; able to create a coherent picture out of both the tangible and intangible parts of a problem; anticipates longer-range implications of current decisions; decisions reflect inner convictions rather than what may be approved by others; recommendations are usually accepted.
DEVELOPMENT NEED	Comprehensive in analyzing problems in own area of expertise, but less effective in others; decisions sometimes favor maintaining good relations more than increasing effectiveness; too much fact gathering when a prompt decision is needed; difficult decisions are made only after they cannot be postponed any longer.
UNSATISFACTORY	Treats symptoms rather than causes; tends to shoot from the hip without facts; insensitive to consequences of decisions on other units or the future; avoids coming to grips with tough decisions; paralyzed by data — fails to take prompt actions.

9. Self Management

STRENGTH	Is personally well organized; budgets time so that the most important work is finished first and still keeps commitments to others; takes action without being told and follows work through to completion.
DEVELOPMENT NEED	Could do a better job of planning daily activities; overcommits self on appointments; some time wasted on lower priority concerns when more important work need attention; sometimes needs to be told what to do.
UNSATISFACTORY	Lack of organization impairs the effectiveness of others; wastes a considerable amount of time on non-essential activities; lacks a sense of urgency on high priority work; frequently has to be told what to do and how to do it.

10. Interpersonal Effectiveness

STRENGTH	Provides appropriate personnel with relevant, timely information — insures that he/she receives such information from others; presents ideas in a clear, orderly, effective manner in both individual and group situations; communicates ideas with conviction; makes an impact in indirect ways through relevance and wisdom of counsel rather than by use of authoritative sanctions; hears others out and doesn't interrupt; confronts conflict when it arises and resolves differences through effective problem solving.
DEVELOPMENT NEED	Sometimes provides too much or too little information; effectiveness occasionally impaired by not being informed; tendency to continue talking after a point has been made; needs to be more assertive in convincing others; effective relations with some people, but conflicts with others; has contributions to make but usually waits until asked; too quick to compromise when conflict arises.
UNSATISFACTORY	Fails to keep others adequately informed with current, relevant data; difficulty presenting ideas clearly; avoids conflict or becomes defensive if challenged; cuts others off.

11. Written Communicaton

STRENGTH	Written communications are clear, orderly and grammatically correct; reduces complex issues to simple terms; written reports and recommendations are usually accepted with only minor changes required.
DEVELOPMENT NEED	Written communications are occasionally rambling or vague; needs to be more sensitive about some audience levels; ideas are generally good but needs to improve ability to express or sell them in writing.
UNSATISFACTORY	Written communications are frequently poorly organized and confusing; insensitive to audience needs; many complaints from others about the quality of reports or letters.

12. Job Knowledge

STRENGTH	Demonstrates a high level of proficiency with methods, techniques and skills required in own area of expertise; maintains familiarity with the operations and concerns of related functions.
DEVELOPMENT NEED	Some additional schooling or reading would improve this individual's effectiveness on present work assignments or prepare him/her for additional responsibility.
UNSATISFACTORY	Knowledge deficiency is seriously impairing effectiveness of results.

13. Adaptability To Change

STRENGTH	Comfortable with new methods and not wed to old ways of doing things; generates and acts on new opportunities; stimulates others to contribute new ideas; capable of handling a wide range of assignments.
DEVELOPMENT NEED	Too comfortable with familiar methods after they are no longer practical; slow to react to the need for necessary changes in operations; hesitant to take on new or different assignments.
UNSATISFACTORY	Objects to new ideas before then can be explained; fails to react to the need for necessary changes in operations; lack of flexibility severely limits assignments this individual is capable of assuming.

14. Self Motivation

STRENGTH	Drive to succeed; enjoys assignments which stretch personal resources; seeks opportunities to build on strengths; aware of development needs and works on deficiencies; sustains a high level of interest and enthusiasm.
DEVELOPMENT NEED	Needs to develop a stronger idealization of the results that he/she could achieve for the organization and self and follow through more forcefully; is perceived as being non-assertive; aware of development needs but slow to act on deficiencies.
UNSATISFACTORY	Lacks interest and enthusiasm for work; difficulty in recognizing own development needs; doesn't take action to change without pressure; defensive about negative feedback from others.

PERFORMANCE FACTORS SUPPLEMENT — NON-SUPERVISORY EMPLOYEES

This supplement provides suggested criteria for defining strengths, development needs and unsatisfactory performance for each of the factors on the Performance Appraisal Summary form for non-supervisory employees. The examples under each definition describe certain actions, or behaviors, which can be observed by a manager in day-to-day work relationships. Each definition should be treated as a point of reference only — managers are encouraged to consider other behavioral examples which could apply to the factors. When evaluating any of the factors on the form, apply the following broad definitions:

STRENGTH	Little room for improvement; positive impact on results.
SATISFACTORY	Consistently meets expectations or requirements.
DEVELOPMENT NEED	Some room for improvement to increase present effectiveness; growth will strengthen ability to handle increased responsibilities.
UNSATISFACTORY	Considerable room for improvement; negative impact on results.
NOT APPLICABLE	Cannot be observed in present position; not considered important to the work performed.

1. Production

STRENGTH	Meets commitments; willingly goes beyond the normal production requirements of the job; voluntarily assumes extra duties when needed; consistently produces a greater than expected volume of work.
DEVELOPMENT NEED	Meets most, but not all commitments; does what is normally expected, but has the ability to accomplish more; will perform additional duties, but has to be shown the need for extra work.
UNSATISFACTORY	Does not meet most commitments; complains when extra work is required; fails to produce the volume of work expected.

2. Thoroughness/Accuracy

STRENGTH	Sets high standards and consistently achieves high quality results; concerned with getting the job done right; checks to verify questionable information; pays close attention to essential details; written reports are thorough and accurate; detects errors, and corrects or makes appropriate people aware of them.
DEVELOPMENT NEED	Is capable of consistently producing high quality results but does not always do so; sometimes more concerned with getting the job done, than in doing it right; does not always pay attention to details; written reports are sometimes incomplete.
UNSATISFACTORY	Does not set high standards and is not achieving high quality results; fails to take action when errors or faulty work are observed; will frequently repeat the same mistake.

3. Independent Action

STRENGTH	Exercises initiative in starting and following through on assigned work; does not require close supervision; initiates action to solve problems without supervisory assistance; steady performance under work pressure.
DEVELOPMENT NEED	Sometimes needs a push to get started and/or maintain momentum; does not always operate well under general guidelines — needs specific instructions; tendency to check with supervisor on too many decisions well within own area of accountability; looks for more help than needed in pressure situations.

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3. Independent Action (Continued)

UNSATISFACTORY	Needs close supervision; has to be told what to do and how to do it; does not take initiative when confronted with a problem; fails to exert extra effort when the situation requires it.

4. Work Methods

STRENGTH	Work is well organized and planned in advance; sets and meets realistic target dates; uses time as efficiently as possible; initiates prompt corrective action when goals are not being achieved or conditions change.
DEVELOPMENT NEED	Occasionally behind in work because of inadequate plans or poor organization of priorities; tendency to over- or under-estimate commitments and/or schedules; wastes some time on non-essential work; does not always act promptly to correct work when it is off-target from goals.
UNSATISFACTORY	Frequently behind in commitments; does not plan or organize priorities; has difficulty meeting deadlines; wastes a lot of time; fails to see when plans are off-track and does not correct without direction.

5. Problem Solving

STRENGTH	Is capable of effectively solving problems and making decisions on assigned work without supervisory assistance; recognizes the crucial factors in a problem and does not waste time dealing with peripheral issues.
DEVELOPMENT NEED	Is capable of effectively solving problems on assigned work but hesitates to do so; tends to waste time on peripheral issues when faced with a problem; good at fact-gathering but hesitant to make decisions.
UNSATISFACTORY	Incapable of solving problems without supervisory assistance; decisions are based on incomplete facts and frequently prove to be wrong.

6. Interpersonal Effectiveness

STRENGTH	Keeps supervisor and others with a need-to-know informed about significant actions taken or problems; communicates ideas or the essence of a problem clearly; gets along well with people in and outside of the department/office.
DEVELOPMENT NEED	Could do a better job of keeping others informed; verbal communication or instructions sometimes confuse others; gets along well with some, but not all people; has contributions to make but usually waits to be asked.
UNSATISFACTORY	Fails to keep others informed with current relevant data; difficulty presenting ideas clearly; cuts others off, talks about others in a derogatory manner.

7. Job Knowledge

STRENGTH	Proficient in methods or skills required to perform own work; maintains familiarity with the operations and concerns of related areas.
DEVELOPMENT NEED	Some additional schooling or reading would improve this individual's effectiveness on present work assignments or prepare him/her for additional responsibility.
UNSATISFACTORY	Knowledge deficiency is seriously impairing effectiveness of results.

8. Work Habits

STRENGTH	Excellent attendance; never late to work without a justifiable excuse; socializing is kept to a minimum; can be counted on to give 100% during the work day.
DEVELOPMENT NEED	Attendance or tardiness could improve; occasionally has to be reminded about excessive socializing; interest in work tends to have peaks and valleys.
UNSATISFACTORY	Poor attendance or tardiness record; excessive socializing — minds everyone else's business; operates only in low gear.

9. Cost Consciousness

STRENGTH	Sensitive to the need for eliminating non-essential activities; willingly suggests cost-saving measures; is not wasteful of supplies; accurately estimates costs of projects when required and stays within budget.
DEVELOPMENT NEED	Needs to develop a greater awareness about expenses and the need for reducing costs associated with work; suggestions for change tend to run towards things that will cost more, not less; frequently under- or over-estimates project costs.
UNSATISFACTORY	Shows little or no concern about reducing expenses; wastes supplies or orders unnecessary, costly supplies or equipment; costs associated with projects always run too high.

10. Self-Motivation

STRENGTH	Drive to succeed; enjoys assignments which stretch personal resources; seeks opportunities to build on strengths; aware of development needs and works on deficiencies; sustains a high level of interest and enthusiasm.
DEVELOPMENT NEED	Needs to develop a stronger idealization of the results that he/she could achieve for the organization and self and follow through more forcefully; is perceived as being non-assertive; aware of development needs but slow to act on deficiencies.
UNSATISFACTORY	Lacks interest and enthusiasm for work; difficulty in recognizing own development needs; does not take action to change without pressure; defensive about negative feedback from others.

Personnel Policies & Programs

SECTION TITLE	DATE
RESULTS PLANNING AND PERFORMANCE APPRAISAL: OVERVIEW	10/75

POLICY

- To complete an annual results plan for every employee.
- To complete a written performance appraisal and discuss the appraisal with every employee at least once a year.
- To conduct verbal appraisals with each employee at least quarterly. This is particularly important during an employee's first year on a new job.
- To review the performance of an employee who is not meeting requirements at one to three month intervals until performance improves or the employee is terminated.

PURPOSE

The Results Planning/Performance Appraisal process is intended to help employees achieve better results on their present jobs and enable them to move on to higher level jobs.

Results planning involves employees in defining the results they will achieve. Because employees participate in setting their own goals, they gain both a clearer understanding of what they are expected to achieve and a higher level of commitment to attaining their goals. Results planning can also contribute to employee development by including goals which will require the employee to gain new skills or assume greater responsibility.

In performance appraisals, your assessment of employees' results, strengths and development needs lets employees know how they are doing. The development plans which you establish with your employees are based on this assessment. When employees know what aspects of their performance need improvement, they can take positive steps to improve. Based on your estimation of employees' potential and their stated career goals, you can jointly plan development opportunities which will increase their chances for promotion.

RESPONSIBILITY

Supervisors:

- Complete results plans with each employee and establish the specific criteria which will be used to evaluate performance.
- Complete performance appraisals and discuss with employees.
- Establish development plans with each employee.

Organization Development Section of Personnel:

- Counsels supervisors on Results Planning and Performance Appraisal.

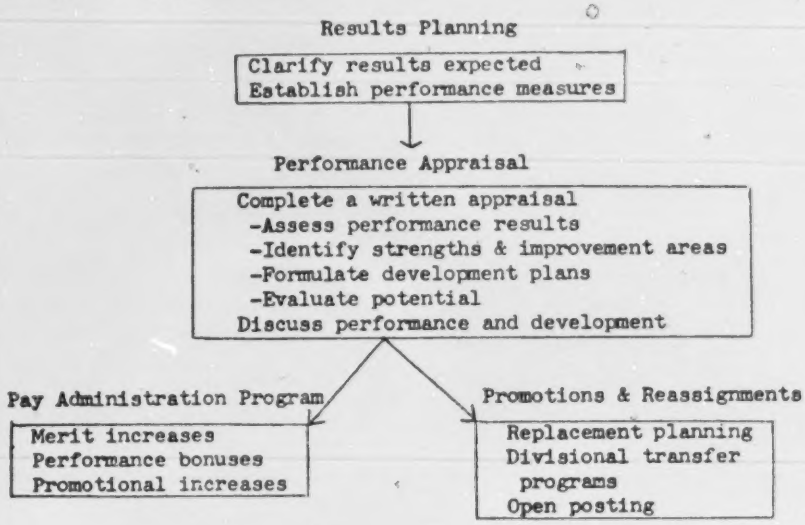
5-2

Personnel Policies & Programs

SECTION TITLE	DATE
RESULTS PLANNING AND PERFORMANCE APPRAISAL: OVERVIEW (cont'd)	10/75

OVERVIEW

The following chart shows the relationships between planning, assessing and rewarding performance.



RESULTS PLANNING

Results planning is the first step in the appraisal process. The results plan establishes the base against which results can be measured throughout the year and during an annual performance appraisal.

- For technical employees - During the fourth quarter of each year, after the objectives and budget for the next year have been approved, you establish a results plan for each employee. The plan includes the principal results which you expect from each employee in the following year and measurement criteria for judging the results.

- For administrative employees - Results plans can be established during the fourth quarter or at any time during the year (e.g., the person's employment anniversary, the department's anniversary). When the results expected from administrative employees are ongoing tasks or a variety of work which can be completed during relatively short time periods, a date like the employment anniversary may be more appropriate for results planning. However, when an individual's results are tied to specific annual business objectives, you should establish a results plan in the fourth quarter and measure progress on a calendar year basis.

5-3

Personnel Policies & Programs

SECTION TITLE	DATE
RESULTS PLANNING AND PERFORMANCE APPRAISAL: OVERVIEW (cont'd)	10/75

PERFORMANCE APPRAISAL

During the first quarter of each year, you write performance appraisals for all technical employees on the results they achieved over the past year. Performance appraisals for administrative employees are done when the year which is covered by the results plan ends. The appraisal includes a comparison of results expected to results achieved, identification of individual strengths and weaknesses and formulation of individual development plans.

RELATION TO PAY ADMINISTRATION

Merit Increase - The results an employee has achieved (which are discussed during a performance appraisal) are of primary importance in merit increase decisions. During a merit review, you evaluate these results in relation to the job responsibilities and the level at which you expect the employee to perform. The employee's performance capabilities (which are reflected by the performance factors in the appraisal) also play a part in increase decisions. You look at those performance factors which are strengths or development needs to determine how valuable the person is to the department and whether the person's growth over the past year indicates potential for taking on additional responsibilities. After evaluating results, strengths and weaknesses, you decide on an increase based on the guidelines in the pay manual.

Performance Bonus - The results expected, which are outlined in the results plan, can serve as the basis for identifying bonus rewardable performance. Since bonuses are usually awarded for results which exceed your expectations, individual achievements which are of higher quality, greater quantity, etc. than those outlined on the results plan could be bonus rewardable.

Separate Discussions - Performance appraisal and merit review discussions should not be conducted on the same day. Though they are both concerned with the same performance, the discussions have distinctly different purposes. In the performance appraisal discussion, an individual's performance during the year is reviewed as the basis for discussing future performance and establishing development plans; in the merit review, performance and growth since the last review are discussed as the basis for a salary increase. If the discussions were held together, the purpose of one discussion might detract from the other.

RELATION TO PROMOTIONS AND REASSIGNMENTS

Past performance is generally the best indicator of future potential. Because written performance appraisals describe the results individuals have achieved, their strengths, development needs and potential for growth, the appraisal helps you make promotion decisions. The appraisal also provides performance information for the Replacement Planning, Open Posting and divisional transfer programs.

related pages

Merit Increases, Vol. II

5-4

Personnel Policies & Programs

SECTION TITLE	DATE
RESULTS PLANNING	10/75

PURPOSES

- To clearly define the results which you expect from each employee so that employees have definite goals.
- To strengthen employees' commitment to meeting objectives by involving them in the planning process.
- To establish a base against which performance can be measured.
- To improve productivity by extending the planning process to all levels of the organization.

SUPERVISOR'S RESPONSIBILITY

- Involve employees in establishing results expected and identifying performance measures.
- Make the final decision about which results and measures to include in the results plan.
- Clearly communicate the results expected to employees.

FORM

Use the Performance Appraisal Summary form (AA-2364), Part I, Results Plan and Results Achieved, for your results plans. See page 5-6 for a sample form.

BEFORE WRITING A RESULTS PLAN

1. Review your employees' position descriptions and your annual business plan.
2. Determine which ongoing responsibilities, new functions, development work or special projects need to be accomplished over the next year.
3. Meet individually with each of your employees to discuss the next year's workload and determine their areas of interest.
4. Based on the preceding three steps and the strengths and development needs identified in your employees' most recent performance appraisals, decide on work assignments. Normally, most employees have four to six major results which they are expected to achieve.
5. Hold a preliminary discussion with each employee about the results expected on each assignment and how the results will be measured.

Once you have made firm job assignments and discussed the assignments with your employees, you have the option of completing Results Plans yourself or asking your employees to complete them. Completing their own plans may give employees a greater sense of commitment to achieving the results. The guidelines in the following blocks will help in writing a Results Plan.

Personnel Policies & Programs

SECTION TITLE	DATE
RESULTS PLANNING (cont'd)	10/75

COMPLETING A RESULTS PLAN

The form contains five blocks for major results expected. If you have more than five results, write brief statements of lower priority results in the "other" block. Results expected include both those results which can be measured quantitatively and those for which there are no specific measures. To complete a results plan:

1. Write clear, concise statements of the principal results expected for each major objective and position description responsibility over the next year.

2. When possible, develop specific measurement criteria for results by answering such questions as "how many?", "by when?", "by what %?" When expected results cannot be measured quantitatively, indicate what quality standards or judgmental factors will be used to evaluate performance. Measurement criteria should reflect each employee's level of performance (e.g., you may set higher than average standards for a good performer to encourage increased productivity).

3. Indicate how progress toward achieving results will be measured (e.g., data processing reports, feedback from customers, wage incentive reports).

4. Establish the priority of each result expected by determining the relative importance of the results. You can record priorities by using a scale of 1 to 5, A to C or any other method you choose.

EXAMPLES

Result Expected/Measurement Criteria — Priority - A

Process all death claims accurately and on time. 90% of standard claims processed within 2 days; 80% of problem claims processed within 5 days; coding errors not to exceed 1% of total claims processed. Results will be checked through daily production records, a random survey of all field claim managers and the weekly corrected claim listing.

Result Expected/Measurement Criteria — Priority - A

Develop a recommendation for a simplified process for preparing expense budgets by April 15. Have the system ready to operate by August 1. Results will be judged on the basis of feedback from managers and my assessment of the improved effectiveness of the system.

5-6

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PERFORMANCE APPRAISAL SUMMARY
PART I - RESULTS PLAN AND RESULTS ACHIEVED

NAME	POSITION TITLE	CLASS	APPRAISAL PERIOD Beginning / Ending
DEPARTMENT / DIVISION	LOCATION		TIME IN POSITION

RESULT EXPECTED *- Write clear, concise statements of the principal results expected for major objectives and position description responsibilities. Where possible, include specific measurement criteria-quantity, quality, time and money (profit or expense). Indicate how progress will be measured toward achieving each result. When the results expected cannot be measured quantitatively, indicate what quality standards or judgmental factors will be used to evaluate performance. Indicate the relative importance (priority) of each result expected. Make changes throughout the year as conditions change.*

RESULT ACHIEVED *- As objectives are completed or at the end of the appraisal period, comment on the degree and quality of attainment and any extenuating circumstances affecting results.*

1. RESULT EXPECTED / MEASUREMENT CRITERIA — PRIORITY

RESULT ACHIEVED

2. RESULT EXPECTED / MEASUREMENT CRITERIA — PRIORITY

RESULT ACHIEVED

3. RESULT EXPECTED / MEASUREMENT CRITERIA — PRIORITY

RESULT ACHIEVED

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SAMPLE PERFORMANCE APPRAISAL SUMMARY, PART I

Personnel Policies & Programs

SECTION TITLE	DATE
RESULTS PLANNING (cont'd)	10/75

AFTER COMPLETING A RESULTS PLAN

Whether you complete the Results Plans for your unit or your employees complete their own plans, discuss the following questions with each employee:

- Are the results expected clear?
- Are the measurement criteria reasonable?
- Are the results expected attainable?
- Are all major expected results included?

It is important for you and the employee to agree that the Results Plan meets these criteria. When you have agreed, finalize the plan and provide a copy to the employee.

USING THE RESULTS PLAN

The Results Plan is a working document which should be used throughout the year.

- It can be used as the basis for periodic discussions with employees about their progress.
- As results are achieved throughout the year, you can discuss them with the employee and describe them in the result achieved blocks of the form. These results become the first part of the performance appraisal. If you record results throughout the year, the entire first section of the appraisal form will be completed when it is time to conduct the final appraisal. (See Performance Results, p. 5-10.)
- If business conditions change or priorities shift, update the form so that it remains a meaningful appraisal tool. Record unplanned assignments in the "other" section of the form.

5-8

Personnel Policies & Programs

SECTION TITLE	DATE
PERFORMANCE APPRAISAL: OVERVIEW	10/75

PURPOSE

- To assess and discuss employees' results, strengths, weaknesses, potential and career goals.
- To establish development plans which capitalize on strengths, improve on weaknesses and prepare those employees with promotion potential for higher level jobs.

SUPERVISOR'S RESPONSIBILITY

- Provide regular feedback on performance to employees throughout the year.
- Assess employees' results achieved, strengths, weaknesses and development needs.
- Conduct a formal performance appraisal at least once a year.
- Establish development plans with employees.

FORMS

All Employees:
- Performance Appraisal Summary, Part I - Results Plan and Results Achieved (AA-2364).

Management and Supervisory Employees:
- Performance Appraisal Summary, Part II - Performance Factors and Development Plans (AA-2628).
- Performance Factors Supplement (AA-2661).

Non-Supervisory Employees:
- Performance Appraisal Summary, Part II - Performance Factors and Development Plans (AA-2659).
- Performance Factors Supplement (AA-2262).

PROCESS

You have two alternatives for completing the performance appraisal: you and the employee can each complete initial drafts or you can do the appraisal alone.

- If you complete the appraisal form yourself, provide the employee with a copy of your appraisal before your meeting. This allows the employee time to prepare for the discussion.
- If the employee is failing to meet the requirements of the job, complete the appraisal alone and prepare to discuss solutions to the performance problem at your meeting.

Whichever alternative you use, you should go through the following steps:

1. Complete the initial draft of the appraisal.

5-9

Personnel Policies & Programs

SECTION TITLE	DATE
PERFORMANCE APPRAISAL: OVERVIEW (cont'd)	10/75

PROCESS (cont'd)

2. Meet with the employee to review areas of agreement, resolve differences and discuss employee career interests. Development plans should also be discussed; however, you may need to set another time to finalize the plans. This will give both of you time to consider appropriate development opportunities.

3. Review the appraisal with your immediate manager and get his/her approval of the appraisal.

4. Complete a final version of the form and meet with the employee to discuss the finalized appraisal.

5. Have the employee write his/her comments on the appraisal and sign the form.

6. Sign the form and give it to your manager to sign.

7. Put the original in the employee's file and give a copy to the employee.

The following pages contain instructions for completing the Performance Appraisal Summary form and guidelines for conducting the appraisal discussion.

5-10

Personnel Policies & Programs

SECTION TITLE	DATE
PERFORMANCE APPRAISAL: COMPLETING THE APPRAISAL FORM	10/75

PERFORMANCE RESULTS

If you have not recorded the employee's results as they were achieved during the year, record what the employee actually accomplished on each task in the result achieved blocks. Include one to three sentences about the degree to which the results were achieved and the reasons for any deviation between expected results and actual results. A deviation can be either exceeding an expectation or failing to meet it. Reasons for failing to meet expectations usually fall into one of the following three categories:

- The situation - technical or operational problems beyond the employee's control.
- The employee - something the employee failed to do or did poorly.
- You, the supervisor - failure to clarify performance expectations or provide timely direction.

EXAMPLE

Result Expected - Process all death claims accurately and on time. 90% of standard claims processed within 2 days; 80% of problem claims processed within 5 days; coding errors not to exceed 1% of total claims processed.

Result Achieved - 85% of standard claims were processed within 2 days. Only 65% of problem claims were processed within 5 days. Processing procedures were changed in March and all the processors were retrained. This resulted in a temporary slowdown in processing time. Coding errors did not exceed 1%.

PERFORMANCE FACTORS

The first part of the appraisal outlines the results which were achieved; the performance factors reflect how those results were achieved. The performance factors are actions or behaviors which you observe in the employee's day-to-day work relationships. Because the performance factors enable you to pinpoint individual strengths and development needs, they become the basis for your employees' development plans.

There are two sets of performance factors - one for management and supervisory employees and one for non-supervisory employees. Choose the appropriate performance factors form. Using the following broad definitions, indicate whether each factor is a strength, satisfactory, a development need, unsatisfactory or not applicable.

- Strength - Little room for improvement; positive impact on results.

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SECTION TITLE	DATE
PERFORMANCE APPRAISAL: COMPLETING THE APPRAISAL FORM (cont'd)	10/75

PERFORMANCE FACTORS (cont'd)

- Satisfactory - Consistently meets expectations or requirements.
- Development Need - Some room for improvement to increase present effectiveness; growth will strengthen ability to handle increased responsibilities.
- Unsatisfactory - Considerable room for improvement; negative impact on results.
- Not Applicable - Cannot be observed in present position; is not considered important to the work performed.

Support any factor checked as a strength, development need or unsatisfactory with specific performance-related examples of observed behavior, and indicate the particular job or project on which the employee exhibited the behavior. In some circumstances, it may be appropriate to check more than one block for each factor. For example, you could check problem analysis/decision making as both a strength and a development need for a particular employee. The employee may be extremely good at analyzing a problem, but has a tendency to postpone making decisions. Thus, problem analysis could be a strength and decision making a development need. If you check two blocks, explain your reasons or provide examples in the examples column.

You may add any factors which you feel have not been included on the form; however, do not add personality traits that do not affect an individual's performance. Any factors which you add should be used for all your employees who hold the same job. If you add factors, let employees know at the beginning of the period for which they are being appraised.

Expanded definitions of behavior which could be characterized as a strength, a development need or unsatisfactory are on pages 5-20 to 5-23 for non-supervisory employees and on pages 5-24 to 5-28 for management and supervisory employees.

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Aetna
LIFE & CASUALTY

PERFORMANCE APPRAISAL SUMMARY – NON-SUPERVISORY EMPLOYEES
PART II - PERFORMANCE FACTORS AND DEVELOPMENT PLAN

For each of the performance factors listed below indicate (√) the effectiveness with which they were applied in achieving the results. Include specific examples of observed behavior for each block checked as Strength, Development Need, or Unsatisfactory. In some circumstances, it may be appropriate to check more than one block for a factor. Explain your reasons in the examples column. The Performance Factors Supplement (AA-7667) provides additional criteria for defining Strengths, Development Needs and Unsatisfactory conditions for each of the factors. When evaluating each factor apply the following broad definitions: ***Strength*** *- Little room for improvement; positive impact on results.* ***Satisfactory*** *- Consistently meets expectations or requirements.* ***Development Need*** *- Some room for improvement to increase present effectiveness; growth will strengthen ability to handle increased responsibilities.* ***Unsatisfactory*** *- Considerable room for improvement; negative impact on results.* ***Not Applicable*** *- Cannot be observed in present position; is not considered important to the work performed.*

PERFORMANCE FACTORS	STRENGTH	SATISFACTORY	DEVELOPMENT NEED	UNSATISFACTORY	NOT APPLICABLE	EXAMPLES
1. Production-Consistently produces a greater than expected volume of work; willingly goes beyond normal production requirements.						
2. Thoroughness/Accuracy-Sets high standards and consistently achieves high quality results; concerned with getting the job done right.						
3. Independent Action-Exercises initiative in starting and following through on assigned work; does not require close supervision.						
4. Work Methods-Personally well-organized; uses time efficiently; sets and meets realistic target dates.						
5. Problem Solving-Acts promptly on own initiative when confronted with a problem and solves without supervisory assistance.						
6. Interpersonal Effectiveness-Keeping others informed; presenting ideas clearly; maintaining favorable relations with others in or outside the department/office.						
7. Job Knowledge-Proficient in methods or skills required to perform own work and knowledge required of related operations.						
8. Work Habits-Attendance, personal phone calls or discussions with co-workers are not interfering with job effectiveness.						
9. Cost Consciousness-Sensitive to the need to eliminate non-essential activities; suggests cost-saving measures.						
10. Self Motivation-Sustains a high drive level and interest in work; builds on strengths and works on deficiencies.						
11.						
12.						
13.						
14.						

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SAMPLE PERFORMANCE APPRAISAL SUMMARY, PART II

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SECTION TITLE	DATE
PERFORMANCE APPRAISAL: COMPLETING THE APPRAISAL FORM (cont'd)	10/75

PERFORMANCE FACTORS (cont'd)

EXAMPLE

PERFORMANCE FACTORS	STRENGTH	SATISFACTORY	DEVELOPMENT NEED	UNSATISFACTORY	NOT APPLICABLE
1. Production-Consistently [illegible] expected volume of work within time limits to avoid normal production [illegible]		X			
2. Thoroughness-Accuracy-Sets high standards and consistently achieves high quality results. Concerned with getting the job done right.		X			
3. Independent Action-Exercises initiative in starting and following through on assigned work. Does not require close supervision.	X				
4. Work Methods-Personally well-organized, uses time effectively, sets and meets realistic target dates.			X		
5. Problem Solving-Acts promptly on own initiative when confronted with a problem [illegible] but supervisor [illegible]					
6. Interpersonal [illegible]					

EXAMPLES

3. Suggested a task force to improve accuracy of claim system. Led task force and made recommendations resulting in more accurate claim payments.

4. Did not plan for systematically training new processors to follow new procedures. Resulted in processing slowdown for several weeks.

DEVELOPMENT PLANS

Employee Development is the primary goal of performance appraisal. Therefore, assessment of past performance should lead to specific development plans for each of your employees.

First, select the performance factors identified as strengths and plan future assignments which will allow the employee to use these strengths. Next, select the performance factors identified as development needs which you want the employee to work on during the next appraisal period. Include factors which will strengthen the employee's ability to take on increased responsibility as well as those which will improve performance on the present job. Since there is a limit to how many factors a person can reasonably be expected to improve during a year, do not select more than three development needs.

Before writing any development plans, ask yourself the following questions:

- Does the employee's development need stem from lack of skills or knowledge?
- Does the employee's development need result from lack of opportunity to apply knowledge already acquired?
- Has the employee had the opportunity to apply knowledge but failed to do so?
- Does the employee need more training or more experience to satisfy the development need?

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SECTION TITLE	DATE
PERFORMANCE APPRAISAL: COMPLETING THE APPRAISAL FORM (cont'd)	10/75

DEVELOPMENT PLANS (cont'd)

- Does the employee lack sufficient interest in the work to do the job well?

Based on the answers to these questions, indicate (in the "Development Plans" block) the specific experiences, exposure or education which can be provided to help the employee develop. Various activities which could be used to develop employees are described on page 5-29.

EXAMPLES

As a result of JoAnne's demonstrated strength in establishing standards and quality control for her unit, I plan to assign her the responsibility for heading up a project team to establish department standards, service levels, and procedures.

Paul's lack of understanding of basic life insurance terminology is slowing down progress on the policy conversion system. We have agreed that he will enroll in LOMA Parts 1 and 2 this May.

GROWTH AND POTENTIAL

In the "Growth and Potential Summary" block, indicate the growth which is possible in the employee's present position and the employee's potential for assuming higher level responsibilities. Include any actions which are necessary to increase the employee's chances for advancement. Define the employee's promotion potential in general terms. This will help you avoid making commitments about promotion which may not be met. When an employee is not promotable, clearly communicate why you believe that the employee is not capable of assuming increased responsibility.

Include any of the career interests or goals which the employee has stated. If you have not had a recent discussion with the employee about career goals, complete this section after your appraisal discussion. Indicate which goals appear to be realistic and compatible with your assessment of the employee's potential. Describe what you can do to help the employee work toward those goals during the next year.

EXAMPLE

Mary handles routine underwriting cases well; however, she still has difficulty with complex cases involving IRS and legal considerations. Further advancement to senior levels of underwriting is questionable. We discussed career opportunities in contract drafting and sales promotion areas because of her writing ability and solid understanding of insurance principles. She has expressed a definite interest in sales promotion work. However, she wants to spend more time with the Accounting and

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STRENGTHS AND DEVELOPMENT NEEDS - Summarize the most significant performance-oriented strengths and development needs which the employee has shown during the past appraisal period.

DEVELOPMENT PLAN - Indicate your plans for development of the employee in the next appraisal period. Relate these plans to the strengths and development needs cited above, indicating specific experiences, exposures and training.

GROWTH AND POTENTIAL SUMMARY - Indicate growth potential in the employee's present position or potential for assuming increased responsibility beyond this position. Include comments on the employee's expressed career interests and goals.

EMPLOYEE COMMENTS - If the employee wishes to do so, any comments concerning the appraisal or development summary, agreement or disagreement, may be indicated below.

I have reviewed the appraisal and discussed the contents with my immediate manager. My signature means that I have been advised of my performance status and does not necessarily imply that I agree with this evaluation.

SIGNATURE _____ DATE _____

APPRAISED BY	DATE
REVIEWED BY	DATE

SAMPLE PERFORMANCE APPRAISAL SUMMARY, PART II

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SECTION TITLE	DATE
PERFORMANCE APPRAISAL: COMPLETING THE APPRAISAL FORM (cont'd)	10/75

GROWTH AND POTENTIAL (cont'd)

Legal Departments over the next three months to see if she can improve her performance on complex cases. We will hold another counseling session at that time to determine whether she should pursue other opportunities.

EMPLOYEE'S COMMENTS

After you have discussed the final version of the appraisal with the employee, give the employee the opportunity to write his/her comments about the appraisal in the "Employee Comments" block. These comments could explain points on which the employee agrees or disagrees with the appraisal or add information which the employee feels was not adequately covered.

Ask the employee to sign the appraisal. Before you do this, make it clear that signing the form does not mean that the employee agrees with what is stated; it simply affirms that the employee's performance appraisal has been discussed with him/her.

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SECTION TITLE	DATE
PERFORMANCE APPRAISAL: CONDUCTING THE APPRAISAL DISCUSSION	10/75

GUIDELINES FOR THE APPRAISAL DISCUSSION

The following are guidelines for conducting the kind of performance appraisal discussion that encourages communication between you and your employees:

- When discussing an individual's performance, use specific examples which you have noted during the year. Examples will help you avoid unproductive disagreements which might occur if you just make general statements.
- Pick out the few really important results, strengths, development needs or unsatisfactory factors to discuss. Discussing trivial details will not help the employee develop or improve future performance.
- In addition to providing your assessment of performance, ask questions which require the employee to analyze his/her own performance. This will tell you more about the employee's motivation, problems and expectations than you would learn by having the employee simply react to your evaluation. For example: What parts of your job do you consider most important? Most challenging? What aspects of your job do you feel you perform particularly well? Where do you feel there is room for improvement in your work?
- Encourage the employee to identify possible causes of any performance problem. This will provide the employee with an opportunity to contribute to a solution.
- Involve the employee in establishing a development plan. This will increase the employee's commitment to following the plan.
- Ask if there is anything you can do to help the employee produce better results. Two-way communication will only occur if you demonstrate that you are as open to feedback from your employees as you are able to provide feedback to them.

TYPES OF APPRAISAL DISCUSSIONS

So that you can effectively communicate your appraisal to your employees, you need to decide which parts of the appraisal to emphasize with different employees. Following are descriptions of approaches to two difficult appraisal situations you may face.

The Outstanding Performer - Because outstanding performers usually do not need to improve in many aspects of their present jobs, you may feel that there is little need for discussion beyond a review of past accomplishments. However, the primary emphasis of an appraisal with an outstanding performer should be development for

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SECTION TITLE	DATE
PERFORMANCE APPRAISAL: CONDUCTING THE APPRAISAL DISCUSSION (cont'd)	10/75

TYPES OF APPRAISAL DISCUSSIONS (cont'd)

future positions. Most of your time in such an appraisal should be spent:

- Describing what you see as the employee's potential.
- Discussing career opportunities within your department and in other areas of the Company.
- Asking the employee about his/her career goals.
- Discussing how you can help the employee move to higher level positions.
- Planning specific actions you and the employee can take to prepare the employee to assume higher level positions.

The Unsatisfactory Performer - Though facing unsatisfactory performers may be an unpleasant task, they are the people who most need appraisal discussions. Usually poor performars realize that they are not meeting requirements and need the chance to discuss their problems.

Before discussing employees' performance failures, mention those areas in which you feel that employees are doing well. You can then be most helpful to unsatisfactory performers by specifically stating how they are failing and discussing ways in which performance failures can be resolved. The following points may help you conduct your appraisal:

- Use past performance failures as the basis for planning future corrective actions. Once you have made it clear that you view them as failures, do not dwell on the failures themselves.
- Clearly state your view of the situation so the employee can respond specifically to the problems you present.
- Encourage the employee to share his/her perceptions of the problems by asking questions.
- Offer the employee suggestions and information which can be used to improve performance.
- Involve the employee in finding solutions to the performance problems.
- Provide reasons for the employee to change attitudes or behaviors.

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SECTION TITLE	DATE
PERFORMANCE APPRAISAL: CONDUCTING THE APPRAISAL DISCUSSION (cont'd)	10/75

TYPES OF APPRAISAL DISCUSSIONS (cont'd)

- Help the employee set specific goals for improvement and identify the controls (e.g., target dates, follow-up discussions) you will use to keep track of progress.

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SECTION TITLE	DATE
PERFORMANCE FACTORS: NON-SUPERVISORY EMPLOYEES	10/75

INTRODUCTION	For each of the factors on the non-supervisory employee's Performance Appraisal Form, you will need to use specific criteria to define strengths, development needs, and unsatisfactory performance. The following blocks provide examples of observable actions or behaviors which typify these three levels of performance. Use each example as a point of reference; consider other examples of actions or behaviors which could apply to the factors for each employee.
PRODUCTION	Strength - Meets commitments; willingly goes beyond the normal production requirements of the job; voluntarily assumes extra duties when needed; consistently produces a greater than expected volume of work. Development Need - Meets most, but not all commitments; does what is normally expected, but has the ability to accomplish more; will perform additional duties, but has to be shown the need for extra work. Unsatisfactory - Does not meet most commitments; complains when extra work is required; fails to produce the volume of work expected.
THOROUGHNESS/ ACCURACY	Strength - Sets high standards and consistently achieves high quality results; concerned with getting the job done right; checks to verify questionable information; pays close attention to essential details; written reports are thorough and accurate; detects errors, and corrects or makes appropriate people aware of them. Development Need - Is capable of consistently producing high quality results but does not always do so; sometimes more concerned with getting the job done, than in doing it right; does not always pay attention to details; written reports are sometimes incomplete. Unsatisfactory - Does not set high standards and is not achieving high quality results; fails to take action when errors or faulty work are observed; will frequently repeat the same mistake.
INDEPENDENT ACTION	Strength - Exercises initiative in starting and following through on assigned work; does not require close supervision; initiates action to solve problems without supervisory assistance; steady performance under work pressure. Development Need - Sometimes needs a push to get started and/or maintain momentum; does not always operate well under general guidelines - needs specific instructions; tendency to check with supervisor on too many decisions well within own area of accountability; looks for more help than needed in pressure situations.

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SECTION TITLE	DATE
PERFORMANCE FACTORS: NON-SUPERVISORY EMPLOYEES (cont'd)	10/75

INDEPENDENT ACTION (cont'd)	Unsatisfactory - Needs close supervision; has to be told what to do and how to do it; does not take initiative when confronted with a problem; fails to exert extra effort when the situation requires it.
WORK METHODS	Strength - Work is well organized and planned in advance; sets and meets realistic target dates; uses time as efficiently as possible; initiates prompt corrective action when goals are not being achieved or conditions change. Development Need - Occasionally behind in work because of inadequate plans or poor organization of priorities; tendency to over- or under-estimate commitments and/or schedules; wastes some time on non-essential work; does not always act promptly to correct work when it is off-target from goals. Unsatisfactory - Frequently behind in commitments; does not plan or or organize priorities; has difficulty meeting deadlines; wastes a lot of time; fails to see when plans are off-track and does not correct without direction.
PROBLEM SOLVING	Strength - Is capable of effectively solving problems and making decisions on assigned work without supervisory assistance; recognizes the crucial factors in a problem and does not waste time dealing with peripheral issues. Development Need - Is capable of effectively solving problems on assigned work but hesitates to do so; tends to waste time on peripheral issues when faced with a problem; good at fact-gathering but hesitant to make decisions. Unsatisfactory - Incapable of solving problems without supervisory assistance; decisions are based on incomplete facts and frequently prove to be wrong.
INTERPERSONAL EFFECTIVENESS	Strength - Keeps supervisor and others with a need-to-know informed about significant actions taken or problems; communicates ideas or the essence of a problem clearly; gets along well with people in and outside of the department/office. Development Need - Could do a better job of keeping others informed; verbal communication or instructions sometimes confuse others; gets along well with some, but not all people; has contributions to make but usually waits to be asked. Unsatisfactory - Fails to keep others informed with current, relevant data; difficulty presenting ideas clearly; cuts others off; talks about others in a derogatory manner.

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Personnel Policies & Programs

SECTION TITLE	DATE
PERFORMANCE FACTORS: NON-SUPERVISORY EMPLOYEES (cont'd)	10/75

JOB KNOWLEDGE	Strength - Proficient in methods or skills required to perform own work; maintains familiarity with the operations and concerns of related areas. Development Need - Some additional schooling or reading would improve this individual's effectiveness on present work assignments or prepare him/her for additional responsibility. Unsatisfactory - Knowledge deficiency is seriously impairing effectiveness of results.
WORK HABITS	Strength - Excellent attendance; never late to work without a justifiable excuse; socializing is kept to a minimum; can be counted on to give 100% during the work day. Development Need - Attendance or tardiness could improve; occasionally has to be reminded about excessive socializing; interest in work tends to have peaks and valleys. Unsatisfactory - Poor attendance or tardiness record; excessive socializing - minds everyone else's business; operates only in low gear.
COST CONSCIOUSNESS	Strength - Sensitive to the need for eliminating non-essential activities; willingly suggests cost-saving measures; is not wasteful of supplies; accurately estimates costs of projects when required and stays within budget. Development Need - Needs to develop a greater awareness about expenses and the need for reducing costs associated with work; suggestions for change tend to run towards things that will cost more, not less; frequently under- or over-estimates project costs. Unsatisfactory - Shows little or no concern about reducing expenses; wastes supplies or orders unnecessary, costly supplies or equipment; costs associated with projects generally always run too high.
SELF-MOTIVATION	Strength - Drive to succeed; enjoys assignments which stretch personal resources; seeks opportunities to build on strengths; aware of development needs and works on deficiencies; sustains a high level of interest and enthusiasm. Development Need - Needs to develop a stronger idealization of the results that he/she could achieve for the organization and self and follow through more forcefully; is perceived as being non-assertive; aware of development needs but slow to act on deficiencies.

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SECTION TITLE	DATE
PERFORMANCE FACTORS: NON-SUPERVISORY EMPLOYEES (cont'd)	10/75

SELF-MOTIVATION (cont'd)	Unsatisfactory - Lacks interest and enthusiasm for work; difficulty in recognizing own development needs; does not take action to change without pressure; defensive about negative feedback from others.

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Personnel Policies & Programs

SECTION TITLE	DATE
PERFORMANCE FACTORS: MANAGEMENT & SUPERVISORY EMPLOYEES	10/75

INTRODUCTION

For each of the factors on the management and supervisory employee's Performance Appraisal Form, you will need to use specific criteria to define strengths, development needs, and unsatisfactory performance. The following blocks provide examples of observable actions or behaviors which typify these three levels of performance. Use each example as a point of reference; you may want to consider other examples which could apply to the factors for each employee.

PLANNING

Strength - Bases plans on a thorough analysis of relevant facts and situations; the costs and benefits associated with proposed actions are justified in the plan; sets realistic goals and schedules; plans are consistent with economic conditions and the organization's objectives (long- and short-range); gains commitments of those affected during the planning process; adjusts plan and priorities as conditions and demands change throughout the year.

Development Need - Bases plans mostly on past performance or trends and does not give enough consideration to future conditions or forecasts; has tendency to over- or under-estimate commitments and/or schedules; costs do not always justify planned actions; sometimes excludes affected parties from planning discussions.

Unsatisfactory - Does not plan or disregards planning principles; jumps into work without regard for result wanted or how to get it; plans frequently prove to be unrealistic and require substantial change; fails to gain commitments from affected parties.

CONTROLLING

Strength - Sets high standards and achieves high quality results through periodic follow-up with subordinates; initiates prompt, corrective actions when goals are not being achieved or conditions change; subordinates understand individual responsibilities and results expected; resolves individual performance problems in a fair, firm and timely manner.

Development Need - Some tolerance for letting quality control standards slip; tends to wait until work is almost complete before checking on progress, resulting in last minute changes or some key missed target dates; individual performance problems sometimes have to be pointed out before corrective actions are taken.

Unsatisfactory - Standards are too low as evidenced by borderline results, missed deadlines or both; fails to see when plans are off-track and does not correct without direction; does not resolve individual performance problems.

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SECTION TITLE	DATE
PERFORMANCE FACTORS: MANAGEMENT & SUPERVISORY EMPLOYEES (cont'd)	10/75

ORGANIZING	Strength - Arranges organization units and work for the most efficient handling and elimination of unnecessary activities; responsibility for results is clearly defined; effectively integrates efforts of work groups to achieve common goals; optimum staffing for results achieved. Development Need - Some restructuring of work units or systems changes would result in more efficient processing of work; needs to improve coordination between work units; needs to eliminate some duplication of effort. Unsatisfactory - Department or office operates inefficiently; too many bottlenecks result from poor organization or unattended systems problems; responsibility for results is unclear; fails to integrate efforts of work goups; overstaffed.
DIRECTING/ LEADERSHIP	Strength - Provides leadership examples for others to follow; sets challenging goals with subordinates; delegates effectively and coordinates many diverse work activities simultaneously; functions effectively without close supervision; sets the pace. Development Need - Maintains too low profile; delegates too much or too little; has some difficulty adjusting when many different work pressures are applied at the same time; needs to take more calculated risks - a little too cautious; needs to take fewer risks - over extended in too many directions. Unsatisfactory - Fails to set challenging goals; involved too heavily in day-to-day work and appears to be unaware of work or people problems; needs close supervision; management techniques are not getting the desired results.
DEVELOPING SUBORDINATES	Strength - Exercises good judgment when evaluating subordinates' performance strengths and weaknesses; skilled in providing constructive feedback; helps subordinates prepare personal growth objectives and follows through in such ways as considering development needs when making work assignments; development plans are implemented; encourages and supports individual initiative and achievement; good track record of developing competent people for the organization. Development Need - Tendency to over or underestimate subordinates' abilities; needs to establish more challenging personal growth objectives with subordinates; does not always follow through on development plans; should delegate authority further down into the organization to encourage more individual initiative; needs to prepare more people for positions in other areas of the organization.

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Personnel Policies & Programs

SECTION TITLE	DATE
PERFORMANCE FACTORS: MANAGEMENT & SUPERVISORY EMPLOYEES (cont'd)	10/75

DEVELOPING SUBORDINATES (cont'd)	Unsatisfactory - Does not have development plans or seek development opportunities for subordinates; management practices are stifling individual initiative and achievement; feedback is not see as helpful or constructive by subordinates; poor track record of moving employees within or outside own area.
EXPENSE MANAGEMENT	Strength - Operating efficiently near lowest possible cost; does not make monetary decisions at the expense of short- or long-term business objectives; stays within budget and/or contributes to the Company's profitability; takes innovative approaches to reducing expenses or implementing money-making ideas. Development Need - Could do a better job of reducing expenses; makes monetary decisions which sometimes sacrifice short- or long-term business objectives; exceeded budget by slightly more than an acceptable level; should reduce spending in some activities. Unsatisfactory - Fails to stay within budget; operating costs are too high; makes monetary decisions which are way out of line with benefits; is not getting adequate results from money spent.
EQUAL OPPORTUNITY	Strength - Actively seeks minorities and women; achieves or exceeds planned staffing goals; creates sound development plans and has good working relationships with minority and female subordinates; no complaints from employees about unfair practices. Development Need - Not aggressive or innovative in achieving minority and female staffing goals; minorities and females concentrated in lower class levels; needs to develop and begin to move them up in the organization. Unsatisfactory - Poor representation of minorities and females; high turnover among minority and female employees; too many complaints about unfair practices.
PROBLEM ANALYSIS/ DECISION MAKING	Strength - Acts promptly on own initiative when confronted with a problem; able to create a coherent picture out of both the tangible and intangible parts of a problem; anticipates longer-range implications of current decisions; decisions reflect inner convictions rather than what may be approved by others; recommendations are usually accepted. Development Need - Comprehensive in analyzing problems in own area of expertise, but less effective in others; decisions sometimes favor maintaining good relations more than increasing effectiveness; too much fact gathering when a prompt decision is needed; difficult decisions are made only after they cannot be postponed any longer.

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Personnel Policies & Programs

SECTION TITLE	DATE
PERFORMANCE FACTORS: MANAGEMENT & SUPERVISORY EMPLOYEES (cont'd)	10/75

PROBLEM ANALYSIS/ DECISION MAKING (cont'd)	Unsatisfactory - Treats symptoms rather than causes; makes decisions without facts; insensitive to consequences of decisions on other units or the future; avoids coming to grips with tough decisions; paralyzed by data - fails to take prompt actions.
SELF MANAGEMENT	Strength - Is personally well organized; budgets time so that the most important work is finished first and still keeps commitments to others; takes action without being told and follows work through to completion. Development Need - Could do a better job of planning daily activities; overcommits self on appointments; some time wasted on lower priority concerns when more important work needs attention; sometimes needs to be told what to do. Unsatisfactory - Lack of personal organization impairs the effectiveness of others; wastes a considerable amount of time on non-essential activities; lacks a sense of urgency on high priority work; frequently has to be told what to do and how to do it.
INTERPERSONAL EFFECTIVENESS	Strength - Provides appropriate personnel with relevant, timely information - insures that he/she receives such information from others; presents ideas in a clear, orderly, effective manner in both individual and group situations; communicates ideas with conviction; makes an impact in indirect ways through relevance and wisdom of counsel rather than by use of authoritative sanctions; hears others out and does not interrupt; confronts conflict when it arises and resolves differences through effective problem solving. Development Need - Sometimes provides too much or too little information; effectiveness occasionally impaired by not being informed; tendency to continue talking after a point has been made; needs to be more assertive in convincing others; effective relations with some people, but conflicts with others; has contributions to make but usually waits until asked; too quick to compromise when conflict arises. Unsatisfactory - Fails to keep others adequately informed with current, relevant data; difficulty presenting ideas clearly; avoids conflict or becomes defensive if challenged; cuts others off.
WRITTEN COMMUNICATION	Strength - Written communications are clear, orderly and grammatically correct; reduces complex issues to simple terms; written reports and recommendations are usually accepted with only minor changes required.

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Personnel Policies & Programs

SECTION TITLE	DATE
PERFORMANCE FACTORS: MANAGEMENT & SUPERVISORY EMPLOYEES (cont'd)	10/75

WRITTEN COMMUNICATION (cont'd)	Development Need - Written communications are occasionally rambling or vague; needs to be more sensitive about some audience levels; ideas are generally good but needs to improve ability to express or sell them in writing. Unsatisfactory - Written communications are frequently poorly organized and confusing; insensitive to audience needs; many complaints from others about the quality of reports or letters.
JOB KNOWLEDGE	Strength - Demonstrates a high level of proficiency with methods, techniques and skills required in own area of expertise; maintains familiarity with the operations and concerns of related functions. Development Need - Some additional schooling or reading would improve this individual's effectiveness on present work assignments or prepare him/her for additional responsibility. Unsatisfactory - Knowledge deficiency is seriously impairing effectiveness of results.
ADAPTABILITY TO CHANGE	Strength - Comfortable with new methods and not wed to old ways of doing things; generates and acts on new opportunities; stimulates others to contribute new ideas; capable of handling a wide range of assignments. Development Need - Too comfortable with familiar methods after they are no longer practical; slow to react to the need for necessary changes in operations; hesitant to take on new or different assignments. Unsatisfactory - Objects to new ideas before they can be explained; fails to react to the need for necessary changes in operations; lack of flexibility severely limits assignments this individual is capable of assuming.
SELF-MOTIVATION	Strength - Drive to succeed; enjoys assignments which stretch personal resources; seeks opportunities to build on strengths; aware of development needs and works on deficiencies; sustains a high level of interest and enthusiasm. Development Need - Needs to develop a stronger idealization of the results that he/she could achieve for the organization and self and follow through more forcefully; is perceived as being non-assertive; aware of development needs but slow to act on deficiencies. Unsatisfactory - Lacks interest and enthusiasm for work; difficulty in recognizing own development needs; does not take action to change without pressure; defensive about negative feedback from others.